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2014

## Aaron Swartz's Secret Service Files

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# Aaron Swartz's Secret Service Files

## Secret Service Records (Last updated 9/19/2014)

-  [Secret Service Response to Request for Aaron Swartz' Records Part 1](#) [ 104 Pages, 4.38MB ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 2](#) [ 26 Pages, 1.4MB ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 3](#) [ 379 Pages, 22.59MB ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 3 - Spreadsheet](#) [ 4,067 Pages, 7.71MB ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 3 - Photographs](#) [ 190 Pages, 29.81MB ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 4](#) [ 1 Page, 131kb ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 5](#) [ 1 Page, 121kb ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 6](#) [ 1 Page, 128kb ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 7](#) [ 7 Pages, 450kb ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 8](#) [ 237,397 Pages, 424.35MB ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 9](#) [ 90 Pages, 4.21MB ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 10](#) [ 259 Pages, 21.54MB ]
-  [Secret Service Response to Request for Aaron Swartz' Records Part 11](#) [ 17 Pages, 930kb ]

Secret Service Response to Request for Aaron Swartz' Records Part 12 (Not yet released by the Secret Service)

 [Secret Service Response to Request for Aaron Swartz' Records Part 13](#) [ 254 Pages, 19.76MB ]

 [Secret Service Response to Request for Aaron Swartz' Records Part 14](#) [ 9 Pages, 0.7MB ]

 [Secret Service Response to Request for Aaron Swartz' Records Part 15](#) [ 13 Pages, 1.2MB ]

 [Secret Service Response to Request for Aaron Swartz' Records Part 16](#) [ 547 Pages, 21.64MB ]

 [Secret Service Response to Request for Aaron Swartz' Records Part 17](#) [ 403 Pages, 12.69MB ]

 [Secret Service Response to Request for Aaron Swartz' Records Part 18](#) [ 2 Pages, 0.15MB ]

**See also “Aaron Swartz’s FBI Files”**

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BOS

From: BOS  
Sent: Thursday, January 17, 2013 8:59 AM  
To: CID  
Cc: ISD; BOS  
Subject: CT 775.510 Aaron Swartz (J-102-775-60071-S)

V. Mc  
mt

U.S. SECRET SERVICE INVESTIGATIVE REPORT

FROM: BOSTON FIELD OFFICE  
TO: CRIMINAL INVESTIGATIVE DIVISION  
INFO: INVESTIGATIVE SUPPORT DIVISION  
SUBJECT: REPORT OF JUDICIAL ACTION

FILE: J-102-775-60071-S  
X-REF: N/A  
SEIZURE#: N/A

ACTUAL LOSS: TBD

POTENTIAL LOSS: \$2,000,000.00

CASE TITLE: AARON SWARTZ  
CASE TYPE: 775.510  
SECONDARY TYPES: 848.191, 848.304, 848.930  
CONTROLLING OFFICE: BOSTON FIELD OFFICE  
REPORT MADE BY: SA (b)(6),(b)(7)(C) (b)(6),(b)(7)(C)  
DATE CASE OPENED: 01/07/11  
PREVIOUS REPORT: 09/21/12 - REPORT OF JUDICIAL ACTION  
REPORTING PERIOD: 09/22/12 - 1/17/13  
STATUS: CONTINUED

SYNOPSIS:

On 1/11/13, Aaron Swartz was found dead in his apartment in Brooklyn, NY as a result of an apparent suicide.

A suppression hearing in this had been scheduled for 1/25/13, with a trial date of 4/01/13, in U.S. District Court for the District of Massachusetts.

Case continued.

DETAILS OF INVESTIGATION:

Reference is made to all previous reports in this case, the most recent of which is the Report Judicial Action written by SA (b)(6),(b)(7)(C) on 09/21/12.

On 1/12/13, several open internet sources were reporting the death of Aaron Swartz. Detective (b)(6),(b)(7)(C) Cambridge, MA PG, contacted Detective (b)(6),(b)(7)(C) New York City PD (NYPD) - Precinct 71 to confirm Swartz' death. Detective (b)(6),(b)(7)(C) stated that at 19:35 hours on 1/11/13, it was reported to NYPD that Aaron Swartz had committed suicide. Detective (b)(6),(b)(7)(C) further stated he responded to (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) in Brooklyn, NY, 11225 and confirmed that Aaron Swartz was found dead of an apparent suicide. The reporting party was Swartz' girlfriend, (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) who resided with the Swartz at the apartment.

JUDICIAL ACTION:

A suppression hearing had been scheduled for 1/25/13 in U.S. District Court for the District of Massachusetts with a trial date of 4/01/13.

SUSPECTS / DEFENDANTS:

AARON H SWARTZ - DEFENDANT (FEDERAL)

1599: Yes (Entered 1/19/2011)  
1599A: Yes (Entered 11/29/2011)

EXAMS CONDUCTED:

ECSAP: 05/20/11  
Poly: N/A  
FSD: N/A

DATABASE SEARCHES CONDUCTED:

MCI / CI: 01/07/11  
NCIC/NLETS: 01/07/11  
CCS/CFT: 01/07/11  
LOCAL LE: 01/07/11

EVIDENCE / CONTRABAND / PERSONAL PROPERTY:

All evidence remains in the Boston Field Office Evidence Vault as previously reported.

DISPOSITION:

Case continued pending disposition of evidence.

USSS / BOSTON

(b)(6),(b)(7)(C)

RICCIARDI

## JUDICIAL ACTION:

On 09/12/12, a superseding indictment was rendered in the United States District Court, District of Massachusetts, charging Aaron Swartz with violations of 18 U.S.C 1343 wire fraud; 18 U.S.C 1030 computer fraud, unlawfully obtaining information from a protected computer and recklessly damaging a protected computer; and 18 U.S.C 2 aiding and abetting.

## SUSPECTS / DEFENDANTS:

AARON H SWARTZ - DEFENDANT  
1599: Yes  
1599A: Yes

## XAMS CONDUCTED:

ECSAP: 05/20/11  
Poly: N/A  
FSD: N/A

## DATABASE SEARCHES CONDUCTED:

MCI / CI: 01/07/11  
NCIC/NLETS: 01/07/11  
CCS/CFT: 01/07/11  
LOCAL LE: 01/07/11

## EVIDENCE / CONTRABAND / PERSONAL PROPERTY:

All remaining evidence is in the Boston Field Office Evidence Vault.

## DISPOSITION:

Case continued pending further investigation and judicial action.

US65/BOSTON

(b)(6),(b)(7)(C)

/ RICCIARDI

9/21/2012

BOS

From: BOS

Sent: Tuesday, May 29, 2012 2:11 PM

To: CID

Cc: BOS; ISD

Subject: CT 775.510 Aaron Swartz (J-102-775-60071-S)

## U.S. SECRET SERVICE INVESTIGATIVE REPORT

FILE COPY

FROM: BOSTON FIELD OFFICE  
 TO: CRIMINAL INVESTIGATIVE DIVISION  
 INFO: INVESTIGATIVE SUPPORT DIVISION

FILE: J-102-775-60071-S  
 X-REF: N/A  
 SEIZURE#: N/A

SUBJECT: REPORT OF JUDICIAL ACTION

ACTUAL LOSS: TBD

POTENTIAL LOSS: \$2,000,000.00

CASE TITLE: AARON SWARTZ  
 CASE TYPE: 775.510  
 SECONDARY TYPES: 848.191, 848.304, 848.930  
 CONTROLLING OFFICE: BOSTON FIELD OFFICE  
 REPORT MADE BY: SA (b) (6) (b) (6) (b) (6) (b) (7) (C)  
 DATE CASE OPENED: 01/07/11  
 PREVIOUS REPORT: 02/27/12 - Report of Continuing Investigation  
 REPORTING PERIOD: 02/28/12 - 05/29/12  
 STATUS: CONTINUED

BOSTON, MA

2012 MAY 29 P 2:20

RECEIVED  
U.S. SECRET SERVICE

## SYNOPSIS:

Judicial action continues in the case of the United States versus Aaron Swartz and the case of the Commonwealth of Massachusetts versus Aaron Swartz.

Case continued in Boston.

## DETAILS OF INVESTIGATION:

Reference is made to all previous reports in this case, the most recent of which is the Report of Continuing Investigation written by SA (b) (6) (b) (6) on 02/27/12.

Reference is made to the telephone conference between Assistant U.S. Attorney Stephen Heymann, SA (b) (6) (b) (6) (b) (6) and Detective (b) (6) (b) (6) (b) (6) Cambridge Police Department on 05/15/12.

Reference is made to the email from Assistant District Attorney (b) (6) (b) (6) (b) (6) to SA (b) (6) (b) (6) (b) (6) on 05/23/12.

## JUDICIAL ACTION:

On 05/15/12, AUSA Heymann, Detective (b) (6) (b) (6) and SA (b) (6) (b) (6) conducted a telephone conference call to discuss the progress of the case against Swartz. AUSA Heymann informed SA (b) (6) (b) (6) and Detective (b) (6) (b) (6) that the case was progressing and he expected judicial action at some time in the future.

## SUSPECTS / DEFENDANTS:

AARON H SWARTZ - DEFENDANT

5/29/2012



1599: Yes  
1599A: Yes

XAMS CONDUCTED:

ECSAP: 05/20/11

Poly: N/A

FSD: N/A

DATABASE SEARCHES CONDUCTED:

MCI / CI: 01/07/11  
NCIC/NLETS: 01/07/11  
CCS/CFT: 01/07/11  
LOCAL LE: 01/07/11

Results of database searches have been reported under "Details of Investigation."

EVIDENCE / CONTRABAND / PERSONAL PROPERTY:

All remaining evidence is in the Boston Field Office Evidence Vault.

DISPOSITION:

Case continued pending further investigation and judicial action.

USSS/BOSTON

(b)(6),(b)(7)(C)

/ RICCIARDI

5/29/2012

BOS

FILE COPY

From: BOS  
Sent: Monday, February 27, 2012 6:01 PM  
To: CID  
Cc: ISD; BOS  
Subject: CT 775.510 Aaron Swartz (102-775-60071-S)

U.S. SECRET SERVICE INVESTIGATIVE REPORT

FROM: BOSTON FIELD OFFICE  
TO: CRIMINAL INVESTIGATIVE DIVISION  
INFO: INVESTIGATIVE SUPPORT DIVISION  
SUBJECT: REPORT OF CONTINUING INVESTIGATION

FILE: 102-775-60071-S  
X-REF: N/A  
SEIZURE#: N/A

ACTUAL LOSS: TBD  
POTENTIAL LOSS: \$2,500,000.00

CASE TITLE: AARON SWARTZ  
CASE TYPE: 775.510  
SECONDARY TYPES: 848.191, 848.304, 848.930  
CONTROLLING OFFICE: BOSTON FIELD OFFICE  
REPORT MADE BY: SA (b)(6),(b)(7)(C)  
DATE CASE OPENED: 01/07/11  
PREVIOUS REPORT: 11/29/11 - Report of Continuing Investigation  
REPORTING PERIOD: 11/30/11 - 02/27/11  
STATUS: CONTINUED

SYNOPSIS:

Swartz was arraigned in the Middlesex County, Massachusetts Superior Court on two counts of breaking and entering in the daytime; one count of larceny for more than \$250.00; and three counts of unauthorized access to a computer.

Case continued in Boston.

DETAILS OF INVESTIGATION:

Reference is made to all previous reports in this case, the most recent of which is the Report of Continuing Investigation written by SA (b)(6),(b)(7)(C) on 11/29/11.

On 12/20/11, SA (b)(6),(b)(7)(C) Detective (b)(6),(b)(7)(C) Cambridge PD, and Detective (b)(6),(b)(7)(C) Boston PD (both of the New England Electronic Crimes Task Force - NEECTF) delivered a hard drive containing discovery information prepared by (b)(6),(b)(7)(C) of CERT to 20 Park Plaza in Boston, Massachusetts. The drive was signed for by (b)(6),(b)(7)(C) of Martin Weinberg P.C. The signed receipt by (b)(6),(b)(7)(C) will remain a permanent part of this case file.

On 01/31/12 (b)(6),(b)(7)(C) a courier for Martin Weinberg, signed for a Toshiba Portable Hard Drive containing discovery information also prepared by (b)(6),(b)(7)(C) at the Boston Field Office.

JUDICIAL ACTION:

On 11/30/11, Swartz was arraigned in Middlesex County, Massachusetts Superior Court on two counts of breaking and entering daytime, one count of larceny for more than \$250.00, and three counts of unauthorized access to a computer.

SUSPECTS / DEFENDANTS:

AARON H SWARTZ - DEFENDANT  
1599: Yes  
1599A: Yes

EXAMS CONDUCTED:

ECSAP: 03/20/11

Poly: N/A

FSD: N/A

DATABASE SEARCHES CONDUCTED:

MCI / CI: 01/07/11

NCIC/NLETS: 01/07/11

CCS/CFT: 01/07/11

LOCAL LE: 01/07/11

Results of database searches have been reported under "Details of Investigation".

EVIDENCE / CONTRABAND / PERSONAL PROPERTY:

All evidence remains in the Boston Field Office Evidence Vault.

DISPOSITION:

Case continued pending further investigation and judicial action.

USSS/BOSTON

(b)(6),(b)(7)(C)

/ RICCIARDI

BOS

From: BOS  
 Sent: Tuesday, November 29, 2011 3:49 PM  
 To: CID  
 Cc: ISD: BOS  
 Subject: 775.510 Aaron Swartz J-102-775-60071-S (Continued)

## U.S. SECRET SERVICE INVESTIGATIVE REPORT

FROM: BOSTON FIELD OFFICE  
 TO: CRIMINAL INVESTIGATIVE DIVISION  
 INFO: INVESTIGATIVE SUPPORT DIVISION  
 SUBJECT: REPORT OF CONTINUING INVESTIGATION

CASE TITLE: AARON SWARTZ  
 CASE TYPE: 775.510  
 SECONDARY TYPES: 848.191, 848.304, 848.930  
 CONTROLLING OFFICE: BOSTON FIELD OFFICE  
 REPORT MADE BY: SA (b)(6),(b)(7)(C) (b)(6),(b)(7)(C)  
 DATE CASE OPENED: 01/07/11  
 PREVIOUS REPORT: 08/01/11 - NOTIFICATION OF FEDERAL ARREST  
 REPORTING PERIOD: 08/02/11 - 11/29/11  
 STATUS: CONTINUED

BOSTON, MA

2011 NOV 29 P 3 51

RECEIVED  
US SECRET SERVICE

## SYNOPSIS:

In addition to the federal charges pending in this case, Aaron Swartz was also indicted in Suffolk County, MA Superior Court for state charges to include breaking and entering in the daytime with intent to commit a felony, larceny over \$250 and unauthorized access to a computer network.

Case continued in Boston.

## DETAILS OF INVESTIGATION:

Reference is made to all previous reports in this case, the most recent of which is the Report of Continuing Investigation written by SA (b)(6),(b)(7)(C) dated 08/01/11.

On 11/21/11, Aaron Swartz, along with attorneys Martin Weinberg and (b)(6),(b)(7)(C) came to the Boston Field Office to review evidence in this case as part of the discovery process. After the review, items approved for release by AUSA Stephen Heymann were turned over to attorney Weinberg.

On 11/23/11, SA (b)(6),(b)(7)(C) turned over the Apple iMac model A1311 with serial number W8C25AXG087 that was seized from Harvard University pursuant to a federal search warrant on 02/11/11 to Detective (b)(6),(b)(7)(C) of the Harvard University Police Department.

## JUDICIAL ACTION:

On 11/17/11, Aaron Swartz was indicted in Suffolk Superior Court for two counts of breaking and entering in the daytime with intent to commit a felony, larceny over \$250, and three counts of unauthorized access to a computer network.

11/29/2011

On 11/25/11, Assistant District Attorney (b)(6),(b)(7)(C) for the Middlesex District Attorney's Office emailed SA (b)(6),(b)(7)(C) to inform him that he expected Swartz to be arraigned on 11/30/11.

## SUSPECTS / DEFENDANTS:

SWARTZ, Aaron - DEFENDANT - ARRESTED (FEDERAL)

1599: Yes  
1599A: Yes  
PHOTO: Yes  
PRINTS: Yes

(b)(6),(b)(7) (b)(6),(b)(7)(C) - SUBJECT

1599: Yes  
1599A: No

(b)(6),(b)(7) (b)(6),(b)(7)(C) - SUBJECT

1599: Yes  
1599A: No

## EXAMS CONDUCTED:

ECSAP: 05/20/11  
Polygraph: N/A  
FSD: N/A

## DATABASE SEARCHES CONDUCTED:

MCI / CI: 01/07/11  
NCIC/NLETS: 01/07/11  
CCS/CFT: 01/07/11  
LOCAL LE: 01/07/11

## EVIDENCE / CONTRABAND / PERSONAL PROPERTY:

EVIDENCE SSF 1544 S/N:

DATE OF INVENTORY:  
INVENTORY MADE BY:  
DESCRIPTION OF ITEMS:

102 2011 CE 31

02/11/11

SA (b)(6),(b)(7)(C)

Scientific Atlantic Modem SN# SM1565968  
Apple Multi Adapter SN# 6F9395M7ZU6  
Apple Multi Adapter SN# 6F7281NNU4S  
Black Notebook Journal

SEIZED / OBTAINED FROM:

LOCATION:

DISPOSITION:

Aaron Swartz  
Boston Field Office Evidence Vault  
Item 1 and 4 returned to Swartz's attorney, Martin Weinberg, on 11/21/11.

EVIDENCE SSF 1544 S/N:

DATE OF INVENTORY:  
INVENTORY MADE BY:  
DESCRIPTION OF ITEMS:

102 2011 CE 32

02/11/11

SA (b)(6),(b)(7)(C)

Harvard University Earning Statement  
Earning Statement Addressed to Aaron Swartz  
Master's Thesis M-876 Lind  
Western Digital Mail-in Rebate Form

SEIZED / OBTAINED FROM:

LOCATION:

DISPOSITION:

Aaron Swartz  
Boston Field Office Evidence Vault  
Items 1 - 5 returned to Swartz's attorney, Martin Weinberg, on 11/21/11.

11/29/2011

EVIDENCE SSF 1544 S/N:  
DATE OF INVENTORY:  
INVENTORY MADE BY:  
DESCRIPTION OF ITEMS:

102 2011 CE 33  
02/11/11  
SA (b)(6),(b)  
Wireless-G 2.4 GHz Broadband Router Linksys  
MacBook Mac OSX Install Disc one and two  
MacBook User Guide in Gray Cardboard case  
Apple Care Service Letter Dispatch R6276408  
Genius Bar Work Confirmation  
Aaron Swartz  
Boston Field Office Evidence Vault  
Item 1 returned to Swartz's attorney, Martin  
Weinberg, on 11/21/11.

SEIZED / OBTAINED FROM:  
LOCATION:  
DISPOSITION:

11/29/2011

EVIDENCE SSF 1544 S/N:  
 DATE OF INVENTORY:  
 INVENTORY MADE BY:  
 DESCRIPTION OF ITEMS:

SEIZED / OBTAINED FROM:  
 LOCATION:  
 DISPOSITION:

102 2011 CE 35  
 02/11/11  
 SA (b)(6),(b)  
 Metallic Blue iPod  
 White iPod with carrying case  
 White iPod with serial number 3A6330856UX8A  
 White iTalk  
 Black 16GB Thumb-drive  
 Aaron Swartz  
 Boston Field Office Evidence Vault  
 Items 1 - 5 returned to Swartz's attorney, Martin Weinberg, on 11/21/11.

EVIDENCE SSF 1544 S/N:  
 DATE OF INVENTORY:  
 INVENTORY MADE BY:  
 DESCRIPTION OF ITEMS:

SEIZED / OBTAINED FROM:  
 LOCATION:  
 DISPOSITION:

102 2011 CE 36  
 02/11/11  
 SA (b)(6),(b)  
 Fifty-four miscellaneous compact discs  
 Two hard drive enclosures  
 T-Mobile Sidekick  
 Sony Micro Vault  
 Aaron Swartz  
 Boston Field Office Evidence Vault  
 39 CDs returned to Swartz's attorney, Martin Weinberg, on 11/21/11.

EVIDENCE SSF 1544 S/N:  
 DATE OF INVENTORY:  
 INVENTORY MADE BY:  
 DESCRIPTION OF ITEMS:

SEIZED / OBTAINED FROM:  
 LOCATION:  
 DISPOSITION:

102 2011 CE 37  
 02/11/11  
 SA (b)(6),(b)  
 DVD-R with handwritten label  
 Pocket notebook  
 Pure Drive Quick start guide  
 Disk utility internal hard drive upgrade kit  
 Seagate Barracuda Hard Drive Installation Guide  
 Aaron Swartz  
 Boston Field Office Evidence Vault  
 Items 3 - 5 returned to Swartz's attorney, Martin Weinberg, on 11/21/11.

EVIDENCE SSF 1544 S/N:  
 DATE OF INVENTORY:  
 INVENTORY MADE BY:  
 DESCRIPTION OF ITEMS:

SEIZED / OBTAINED FROM:  
 LOCATION:  
 DISPOSITION:

102 2011 CE 38  
 02/11/11  
 SA (b)(6),(b)(7)  
 Apple iMac Model A1311 serial number WB026AXGD87  
 Western Digital Hard Drive SN WMANN1006724  
 Aaron Swartz  
 Boston Field Office Evidence Vault  
 Item 1 turned over to Harvard Univ. PD Det. (b)(6),(b) on 11/23/11.

EVIDENCE SSF 1544 S/N:  
 DATE OF INVENTORY:  
 INVENTORY MADE BY:  
 DESCRIPTION OF ITEMS:  
 SEIZED / OBTAINED FROM:  
 LOCATION:  
 DISPOSITION:

102 2011 CE 81  
 02/25/11  
 SA (b)(6),(b)(  
 16 CD contained in a mailing envelope  
 Aaron Swartz  
 Martin Weinberg P.C.  
 Returned to Swartz's attorney, Martin Weinberg, on 11/21/11.

DISPOSITION:

11/29/2011



Case continued pending further investigation and judicial action.

USSS/BOSTON

(b)(6),(b)(7)(C)

RICCIARDI

11/29/2011

BOS

From: BOS  
Sent: Monday, August 01, 2011 1:38 PM  
To: CID  
Cc: ISD; BOS  
Subject: 775.510 Notification of Federal Arrest - Aaron Swartz (J-102-775-60071-S)

Ville  
m

U.S. SECRET SERVICE INVESTIGATIVE REPORT

FROM: BOSTON FIELD OFFICE  
TO: CRIMINAL INVESTIGATIVE DIVISION  
INFO: INVESTIGATIVE SUPPORT DIVISION  
FILE: J-102-775-60071-S  
X-REF: N/A  
SEIZURE#: N/A

SUBJECT: NOTIFICATION OF FEDERAL ARREST  
AARON SWARTZ - Date of Arrest: 07/19/11

FILE COPY

ACTUAL LOSS: \$TBD

POTENTIAL LOSS: \$2,000,000.00

FEDERAL STATUTES VIOLATED - TITLE 18 UNITED STATES CODE  
SECTION 1343 - WIRE FRAUD  
SECTION 1030(a)(4) - COMPUTER FRAUD  
SECTION 1030(a)(2) - THEFT OF INFORMATION FROM A COMPUTER  
SECTION 1030(a)(5)(B) - RECKLESSLY DAMAGING A COMPUTER  
SECTION 2 - AIDING AND ABETTING

CASE TITLE: AARON SWARTZ  
CASE TYPE: 775.510  
SECONDARY TYPES: 949.191, 948.304, 948.930  
CONTROLLING OFFICE: BOSTON FIELD OFFICE  
REPORT MADE BY: SA (b)(6),(b)(7)(C)  
DATE CASE OPENED: 01/07/11  
PREVIOUS REPORT: 06/29/11 - REPORT OF CONTINUING INVESTIGATION  
REPORTING PERIOD: 06/30/11 - 08/01/11  
STATUS: CONTINUED

2011

SYNOPSIS:

Aaron Swartz was indicted in U.S. District Court for the District of Massachusetts for violations of Title 18 United States Code, Sections 1343 - Wire Fraud; 1030(a)(4) - Computer Fraud; 1030(a)(2) - Theft of Information From a Computer; 1030(a)(5)(B) - Recklessly Damaging a Computer; and Section 2 - Aiding and Abetting.

On 07/19/11, Swartz surrendered to federal authorities and was arraigned before Magistrate Judge Judith G. Dein.

Case continued in Boston.

DETAILS OF INVESTIGATION:

Reference is made to all previous reports in this case, the most recent of which is the Report of Continuing Investigation written by SA (b)(6),(b)(7)(C) on 06/29/11.

JUDICIAL ACTION:

On 07/14/11, Swartz was indicted in U.S. District Court for the District of Massachusetts for violations of Title 18 United States Code, Sections 1343 - Wire Fraud; 1030(a)(4) - Computer Fraud; 1030(a)(2) - Theft of Information From a Computer; 1030(a)(5)(B) - Recklessly Damaging a Computer; and 2 - Aiding and Abetting.

On 07/19/11, Swartz surrendered to federal authorities and was arraigned before Magistrate Judge Judith G. Dein. Swartz was released on \$100,00.00 bond.

SUSPECTS / DEFENDANTS:

SWARTZ, Aaron - DEFENDANT - ARRESTED (FEDERAL)  
1599: Yes  
1599A: No

(b)(6),(b)(7)(C) (b)(6),(b)(7)(C) - SUBJECT  
1599: Yes  
1599A: No

(b)(6),(b)(7)(C) SUBJECT  
1599: Yes  
1599A: No

EXAMS CONDUCTED:

ECSAP: 05/26/11  
Poly: N/A  
FSD: N/A

DATABASE SEARCHES CONDUCTED:

NCI / CI: 01/07/11  
NCIC/NLETS: 01/07/11  
CCS/CFT: 01/07/11  
LOCAL LE: 01/07/11

EVIDENCE / CONTRABAND / PERSONAL PROPERTY:

All evidence remains secured in the Boston Field Office Evidence vault as previously reported.

DISPOSITION:

Case continued pending further investigation and judicial action.

USSS / BOSTON

(b)(6),(b)(7)(C)

/ RICCIARDI

On 04/13/11, SA (b)(6),(b)(7) Detective (b)(6),(b) and AUSA Heyman interviewed (b)(6),(b)(7)(C) at the U.S. Attorney's office at 1 Courthouse Way, Boston, Massachusetts. Also present were (b)(6) (b)(6),(b) and (b)(6),(b)(b)(6) both attorneys with Fish and Richardson. The details of the interview are described in a Memorandum of Interview written by SA (b)(6),(b). A copy of that MOI will be maintained in this case folder.

On 05/12/11, SA (b)(6),(b) and Detective (b)(6),(b) interviewed (b)(6),(b)(7)(C) at the Free Software Foundation at 51 Franklin Street, 5th Floor, Boston Massachusetts. The details of the interview are described in a Memorandum of Interview written by Detective (b)(6),(b). A copy of the MOI will be maintained in this case folder.

On 06/07/11, 4 Samsung Hard Drives were turned over to SA (b)(6),(b) at the offices of Good and Cormier located at 43 Atlantic Avenue in Boston Massachusetts.

SUSPECTS / DEFENDANTS:

SWARTZ, Aaron H. - SUSPECT

1599: Yes

1599A: No

(b)(6),(b)(b)(6),(b)(7)(C) - SUBJECT

1599: No

1599A: No

(b)(6),(b)(b)(6),(b) - SUBJECT

1599: No

1599A: No

EXAMS CONDUCTED:

ECSAP: Ongoing

Poly: N/A

FSD: N/A

DATABASE SEARCHES CONDUCTED:

MCI / CI: 01/07/11

NCIC/NLETS: 01/07/11

CCS/CFT: 01/07/11

LOCAL LE: 01/07/11

EVIDENCE / CONTRABAND / PERSONAL PROPERTY:

EVIDENCE SSF 1544 S/N:

DATE OF INVENTORY:

INVENTORY MADE BY:

DESCRIPTION OF ITEMS:

SEIZED / OBTAINED FROM:

LOCATION:

DISPOSITION:

102 2011 CE 81

02/25/11

SA (b)(6),(b)(b)(6),(b)(7)(C)

16 CE contained in a mailing envelope

Aaron Swartz

Boston Field Office Evidence Vault

Held pending judicial action.

EVIDENCE SSF 1544 S/N:

DATE OF INVENTORY:

INVENTORY MADE BY:

DESCRIPTION OF ITEMS:

SEIZED / OBTAINED FROM:

LOCATION:

DISPOSITION:

102 2011 CE 82

02/25/11

SA (b)(6),(b)(b)(6),(b)(7)(C)

Galaxy Metal Gear Box External Hard Drive

Aaron Swartz

Boston Field Office Evidence Vault

Held pending judicial action.

EVIDENCE SSF 1544 S/N:

DATE OF INVENTORY:

INVENTORY MADE BY:

102 2011 CE 119

06/07/11

SA (b)(6),(b)(b)(6),(b)(7)(C)

DESCRIPTION OF ITEMS: 4 Samsung Hard Drives  
SEIZED / OBTAINED FROM: Aaron Swartz  
LOCATION: Boston Field Office ECSAP Vault  
DISPOSITION: Held pending judicial action.

All other evidence remains in the Boston Field Office Evidence vault as previously reported.

DISPOSITION:

Case continued pending further investigation and judicial action.

USBS / BOSTON

(b)(6),(b)(7)(C)

RICCIARDI

(BOS)

From: SFO  
Sent: Thursday, June 23, 2011 4:36 PM  
To: CID: BOS  
Cc: ISD, SFO  
Subject: CT 775.510 (102-775-80071-S) REPORT OF IOD - AARON SWARTZ (CLOSED)

//ROUTINE//

## U.S. SECRET SERVICE INVESTIGATIVE REPORT

FROM: SAN FRANCISCO FIELD OFFICE  
TO: CRIMINAL INVESTIGATION DIVISION  
BOSTON FIELD OFFICE  
INFO: INVESTIGATIVE SUPPORT DIVISION

FILE: 102-775-60071-S  
X-REF: N/A  
SEIZURE#: N/A

SUBJECT: REPORT OF IOD

ACTUAL LOSS: \$TBD      POTENTIAL LOSS: \$2,000,000.00

CASE TITLE: AARON SWARTZ  
CASE TYPE: 775.510  
SECONDARY TYPES: 848.191, 848.304, 848.930  
CONTROLLING OFFICE: BOSTON FIELD OFFICE  
REPORT MADE BY: SA (b)(6) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C)  
DATE CASE OPENED: 02/28/11  
PREVIOUS REPORT: N/A  
REPORTING PERIOD: 02/28/11 - 06/29/11  
STATUS: CLOSED

SYNOPSIS:

The Boston Field Office requested the San Francisco Field Office (SFO) to interview (b)(6), (b)(6), (b)(6), (b)(7)(C) and (b)(6), (b)(7)(C) two known associates of Aaron Swartz to determine their knowledge of his activities.

After a discussion with Assistant United States Attorney (AUSA) Stephen Heymann, District of Massachusetts, and case agent (b)(6) (b)(7)(C) (BOS), it was decided that the interview of (b)(6) (b)(7)(C) was not necessary.

(b)(6) (b)(7)(C) was interviewed regarding her knowledge of Aaron Swartz's recent activities.

DETAILS OF INVESTIGATION:

On 3/1/11, I participated in a conference call with SA (b)(6),(b)(7)(C) of the Boston Field Office (BOS) and AUSA Stephen Heymann. During this conversation, SA (b)(6),(b)(7)(C) and AUSA Heymann requested that I interview (b)(6),(b)(7)(C) first, and a decision on whether to interview (b)(6),(b)(7)(C) would be made at a later date.

On 9/9/11, I responded to [REDACTED] residence. [REDACTED] SA [REDACTED]. At this time, SA [REDACTED] and I interviewed [REDACTED] with stated that she received a phone call from Swartz, who asked her to call his lawyer and arrange bail for him, which she did. [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED] When [REDACTED] was asked about any additional contact with Swartz, she

1599A:

PHOTO:

No

PRINTS:

No

POB:

DL/STATE:

ADDRESS:

(b)(6),(b)(7)(C)

EMAIL:

DATABASE CHECKS: 02/24/11

EXAMS CONDUCTED:

None.

DATABASE SEARCHES CONDUCTED:

None

EVIDENCE / CONTRABAND / PERSONAL PROPERTY:

None

DISPOSITION:

Case closed in San Francisco.

USSS/SAN FRANCISCO/d

(b)(6),(b)(7)(C)

and 9,472 editorials.

On 02/11/11, SA (b)(6),(b)(7)(C) ATSAIC (b)(6),(b)(7)(C) SA (b)(6),(b)(7)(C) SA (b)(6),(b)(7)(C) and Detective (b)(6),(b)(7)(C) executed a federal search warrant on Swartz's residence located at 950 Massachusetts Avenue, Apartment 320, Cambridge, Massachusetts. Swartz was home at the time the search was executed. While the search was conducted, Swartz made statements to the effect of, what took you so long, and why didn't you do this earlier? The search team seized several items described in greater detail in the Evidence section of this report. After completing the search of Apartment 320, the search team returned to the first floor to search the storage locker allocated to apartment 320. While on the first floor, SA (b)(6),(b)(7)(C) observed Swartz leave the building, walk to the street and sprint away after he reached the street. After ascertaining that none of the items in the storage locker belonged to Swartz, the search team moved to 124 Mount Auburn Street in Cambridge, Massachusetts where the Harvard University, Edmond J Safra Center for Ethics is located and Swartz is listed as a lab fellow. The search team observed Swartz at the Safra Center for Ethics. Harvard University Police secured Swartz's office while a federal search warrant was obtained. After the search warrant was obtained, the team searched Swartz's office at the Safra Center. SA (b)(6),(b)(7)(C) seized an Apple iMac computer and a Western Digital hard drive from Swartz's office.

On 02/25/11, Detective (b)(6),(b)(7)(C) received the Acer Aspire netbook, hard drive enclosure, Western Digital hard drive contained in the enclosure, and the USB flash drive from Cambridge Police (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) Detective (b)(6),(b)(7)(C) took the evidence items directly to the ECSAP Lab Evidence Vault.

#### SUSPECTS/DEFENDANTS:

SWARTZ, Aaron H - SUSPECT

1599: Yes  
1599A: No

(b)(6),(b)(7)(C)

SUBJECT

AKA: (b)(6),(b)(7)(C)  
RACE: (b)(6),(b)(7)(C)  
SEX: (b)(6),(b)(7)(C)  
DOB: (b)(6),(b)(7)(C)  
SSN: (b)(6),(b)(7)(C) - 6047  
FBI: (b)(6),(b)(7)(C)  
SID: (b)(6),(b)(7)(C)  
HT: (b)(6),(b)(7)(C)  
WT: (b)(6),(b)(7)(C)  
EYES: (b)(6),(b)(7)(C)  
HAIR: (b)(6),(b)(7)(C)  
1599: No  
1599A: No  
PHOTO: No  
PRINTS: No  
POB: (b)(6),(b)(7)(C)  
DL/STATE: (b)(6),(b)(7)(C)  
ADDRESS: (b)(6),(b)(7)(C)  
EMAIL: (b)(6),(b)(7)(C)  
DATABASE CHECKS: 02/24/11

(b)(6),(b)(7)(C)

SUBJECT

AKA: N/A  
RACE: (b)(6),(b)(7)(C)



SEX: (b)(6) (b)(7)(C)  
 DOB: (b)(6) (b)(7)(C)  
 SSN: (b)(6) (b)(7)(C) -5939  
 FBI: N/A  
 SID: N/A  
 HT: N/A  
 WT: N/A

(b)(6) (b)(7)(C)

1599: No  
 1599A: No  
 PHOTO: No  
 PRINTS: No  
 POB: No

DL/STATE:

ADDRESS: (b)(6), (b)(7)(C)

EMAIL:

DATABASE CHECKS: 02/24/11

#### EXAMS CONDUCTED:

ECSAP: Ongoing  
 Poly: N/A  
 FSD: N/A

#### DATABASE SEARCHES CONDUCTED:

MCI / CI: 01/07/11  
 NCIC/NLETS: 01/07/11  
 CCS/CFT: 01/07/11  
 LOCAL LE: 01/07/11

#### EVIDENCE / CONTRABAND / PERSONAL PROPERTY:

EVIDENCE SSF 1544 S/N: 102 2011 CE 31  
 DATE OF INVENTORY: 02/11/11  
 INVENTORY MADE BY: SA (b)(6) (b)(7)(C)  
 DESCRIPTION OF ITEMS: Scientific Atlantic Modem SN# SM1565968  
 Apple Multi Adapter SN# 6F9395M7ZU6  
 Apple Multi Adapter SN# 6F7281NNU4S  
 Black Notebook Journal  
 SEIZED / OBTAINED FROM: Aaron Swartz  
 LOCATION: Boston Field Office Evidence Vault  
 DISPOSITION: Held pending judicial action.

EVIDENCE SSF 1544 S/N: 102 2011 CE 32  
 DATE OF INVENTORY: 02/11/11  
 INVENTORY MADE BY: SA (b)(6) (b)(7)(C)  
 DESCRIPTION OF ITEMS: Harvard University Earning Statement  
 Earning Statement Addressed to Aaron Swartz  
 Master's Thesis M-876 Lind  
 Western Digital Mail-in Rebate Form

SEIZED / OBTAINED FROM: Aaron Swartz  
 LOCATION: Boston Field Office Evidence Vault  
 DISPOSITION: Held pending judicial action.

EVIDENCE SSF 1544 S/N: 102 2011 CE 33

DATE OF INVENTORY:  
INVENTORY MADE BY:  
DESCRIPTION OF ITEMS:

02/11/11  
SA (b)(6)(7)  
Wireless-G 2.4 GHz Broadband Router Linksys  
MacBook Mac OSX Install Disc one and two  
MacBook User Guide in Gray Cardboard case  
Apple Care Service Letter Dispatch R4276408  
Genius Bar Work Confirmation  
Aaron Swartz  
Boston Field Office Evidence Vault  
Held pending judicial action.

SEIZED / OBTAINED FROM:  
LOCATION:  
DISPOSITION:

EVIDENCE SSF 1544 S/N:  
DATE OF INVENTORY:  
INVENTORY MADE BY:  
DESCRIPTION OF ITEMS:

102 2011 CE 34  
02/11/11  
SA (b)(6)(7)  
Nokia Cell Phone  
T-Mobile, HTC G2 cell phone  
12 Magnetic Media Tapes  
Aaron Swartz  
Boston Field Office Evidence Vault  
Held pending judicial action.

SEIZED / OBTAINED FROM:  
LOCATION:  
DISPOSITION:

EVIDENCE SSF 1544 S/N:  
DATE OF INVENTORY:  
INVENTORY MADE BY:  
DESCRIPTION OF ITEMS:

102 2011 CE 35  
02/11/11  
SA (b)(6)(7)  
Metallic Blue iPod  
White iPod with carrying case  
White iPod with serial number 8A6330856UX8A  
White iTalk  
Black 16GB Thumb-drive  
Aaron Swartz  
Boston Field Office Evidence Vault  
Held pending judicial action.

SEIZED / OBTAINED FROM:  
LOCATION:  
DISPOSITION:

EVIDENCE SSF 1544 S/N:  
DATE OF INVENTORY:  
INVENTORY MADE BY:  
DESCRIPTION OF ITEMS:

102 2011 CE 36  
02/11/11  
SA (b)(6)(7)  
Fifty-four miscellaneous compact discs  
Two hard drive enclosures  
T-Mobile Sidekick  
Sony Micro Vault  
Aaron Swartz  
Boston Field Office Evidence Vault  
Held pending judicial action.

SEIZED / OBTAINED FROM:  
LOCATION:  
DISPOSITION:

EVIDENCE SSF 1544 S/N:  
DATE OF INVENTORY:  
INVENTORY MADE BY:  
DESCRIPTION OF ITEMS:

102 2011 CE 37  
02/11/11  
SA (b)(6)(7)  
DVD-R with handwritten label  
Pocket notebook  
Pure Drive Quick start guide  
Disk utility Internal hard drive upgrade kit  
Seagate Barracuda Hard Drive Installation Guide  
Aaron Swartz  
Boston Field Office Evidence Vault  
Held pending judicial action.

SEIZED / OBTAINED FROM:  
LOCATION:  
DISPOSITION:

EVIDENCE SSF 1544 S/N:  
DATE OF INVENTORY:

102 2011 CE 38  
02/11/11

NEW ENGLAND ECTF CASE OPENING SHEET

TITLE: AARON SWARTZ

FILE NUMBER: 102-775-60071

NCIC: 01/07/11 QH 01/07/11 QR 01/07/11 STATE: 01/07/11 BOP: 01/07/11

SA ASSIGNED: (b)(6),(b)(7)(C) DATE ASSIGNED: 01/04/11

PRIMARY CASE TYPE: 775. <sup>510</sup> Unauthorized Access LOCATION: Cambridge, MA

SECONDARY CASE: 848.191; 848.304; 848.930

FRAUD LOSS: ACTUAL: STBD POTENTIAL: \$50,000.00

ELECTRONIC BANKING/CONSUMER ELECTRONIC FUNDS TRANSFER:  
ATM \_\_\_\_\_ DIRECT DEPOSIT \_\_\_\_\_ PAY-BY-PHONE \_\_\_\_\_  
COMPUTER BANKING \_\_\_\_\_ POINT OF SALE TRANSFER \_\_\_\_\_

COMPUTER FRAUD:  
FED \_\_\_\_\_ STATE \_\_\_\_\_ PRIVATE \_\_\_\_\_ X \_\_\_\_\_

TELECOMMUNICATIONS/WIRE FRAUD:  
CELL \_\_\_\_\_ WIRE \_\_\_\_\_ X \_\_\_\_\_ PAGER \_\_\_\_\_ CREDIT CALLING CARDS \_\_\_\_\_

ACCESS DEVICE:  
FINANCIAL \_\_\_\_\_ PERSONAL \_\_\_\_\_ ELECTRONIC \_\_\_\_\_

IDENTIFICATION/SOFTWARE PROLIFERATION:  
SOFTWARE DISTRIBUTION \_\_\_\_\_ PLANT/PRODUCTION \_\_\_\_\_

ECTF MEMBER

\_\_\_\_\_ AGENCY \_\_\_\_\_ CHARGE

CRS INITIAL / DATE \_\_\_\_\_  
ASSET FORFEITURE POTENTIAL REVIEW

APPROVED

(s)(6) (s)(7)(C)

ATSAIC SIGNATURE \_\_\_\_\_

2011

# CERTIFIED INVENTORY OF EVIDENCE

SERIAL NUMBER  
102 2011 CE 000038

EVIDENCE HELD AGAINST

☐ SPECIMEN

CASE NO.

102-775-0060071-S

SWARTZ AARON

OFFICE

BOSTON FIELD OFFICE

(b)(6),(b)(7)(C)

DATE OF INVENTORY

02/11/11

PAGE

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OF

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PAGES

SIGNATURE - SPECIAL AGENT

DATE

(b)(6),(b)(7)(C)

REVIEWING SUPERVISOR

(b)(6),(b)(7)(C)

SIGNATURE - WITNESS

DATE

SIGNATURE

DATE

I certify the evidence described in the page(s) of this inventory, not otherwise disposed of per attached documentations, was verified for final retention at Forensic Services Division this date.

SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
1	02/11/11	1	THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT ON 2/11/11 AT 124 MOUNT AUBURN STREET, SUITE 520N, OFFICE 504, CAMBRIDGE, MA. THESE ITEMS HAVE BEEN MARKED AND DATED "MP 2/11/11" IDENTIFYING SA (b)(6),(b)(7)(C) OF THE BOSTON FIELD OFFICE.	
			APPLE IMAC, MODEL A1311	
			SERIAL NUMBERS:	
			WB025AKED87	\$800.00
2	02/11/11	1	WESTERN DIGITAL HARD DRIVE, MODEL WD1200	
			SERIAL NUMBERS:	
			WD0ANN1006724	\$60.00
TOTAL				\$860.00

UNITED STATES SECRET SERVICE

FINAL JAB

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SSF 1544 (03/06)

case file

### CHAIN OF CUSTODY LOG

If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET.

[illegible]

# CERTIFIED INVENTORY OF EVIDENCE

SERIAL NUMBER  
102 2011 CE 000031

EVIDENCE HELD AGAINST

☐ SPECIMEN

CASE NO.

102-775-0060071-5

SWARTZ AARON

OFFICE

BOSTON FIELD OFFICE

(b)(6),(b)(7)(C)

DATE OF INVENTORY

02/11/11

PAGE

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OF

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PAGES

SIGNATURE - SPECIAL AGENT

DATE

(b)(6),(b)(7)(C)

(b)(6),(b)(7)(C)

SIGNATURE - WITNESS

DATE

SIGNATURE

DATE

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SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
			<p>THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT ON 2/11/11 AT 950 MASSACHUSETTS AVZ, APT# 320 BOSTON, MA.</p> <p>THESE ITEMS ARE MARKED "AS 2/11/11" FOR IDENTIFICATION. AS IDENTIFIES SA (b)(6) (b)(6), BOSTON FIELD OFFICE.</p>	
1	02/11/11	1	SCIENTIFIC ATLANTIC MODEM, BLACK, WITH POWER CORD, S/N # SM1565968, LOCATED IN CORNER OF LIVING ROOM	\$20.00
2	02/11/11	1	APPLE MULTI ADAPTER, WHITE, S/N # 6F9395M7ZU6, LOCATED IN CORNER OF LIVING ROOM	\$20.00
3	02/11/11	1	APPLE MULTI ADAPTER, WHITE, S/N # 6F7281HWU48, LOCATED IN BEDROOM	\$20.00
4	02/11/11	1	BLACK NOTEBOOK JOURNAL, UNLINED LOCATED IN BEDROOM	NO VALUE
TOTAL				\$60.00

UNITED STATES SECRET SERVICE

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SSF 1544 (03/98)

FINAL JAB

Case file

If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET

UNITED STATES SECRET SERVICE

# CERTIFIED INVENTORY OF EVIDENCE

SERIAL NUMBER  
102 2011 CE 000082

EVIDENCE HELD AGAINST

☐ SPECIMEN

CASE NO.

102-775-0060071-8

SWARTZ AARON

OFFICE

BOSTON FIELD OFFICE

(b)(6),(b)(7)(C)

2/11/11

DATE OF INVENTORY

02/11/11

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PAGES

SIGNATURE - SPECIAL AGENT

DATE

(b)(6),(b)(7)(C)

2-11-11

SIGNATURE - WITNESS

DATE

(b)(6),(b)(7)(C)

SIGNATURE

2/11/11

DATE

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SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
1	02/11/11	1	<p>THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT ON 2/11/11 AT 950 MASSACHUSETTS AVE, APT #320, BOSTON, MA.</p> <p>THIS ITEM HAS BEEN MARKED "MP 2/11/11" IDENTIFYING SA (b)(6),(b)(7)(C) OF THE SFO.</p> <p>GALAXY METAL GEAR BOX EXTERNAL HARD DRIVE</p>	\$50.00
TOTAL				\$50.00

UNITED STATES SECRET SERVICE

FINAL JAB

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SSF 1544 (03/88)

Casefile



## CHAIN OF CUSTODY LOG

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[illegible]

# CERTIFIED INVENTORY OF EVIDENCE

SERIAL NUMBER  
102 2011 CE 000034

EVIDENCE HELD AGAINST

☐ SPECIMEN

CASE NO.

102-775-0060071-8

SWARTZ AARON

OFFICE

BOSTON FIELD OFFICE

(b)(6),(b)(7)(C)

DATE OF INVENTORY

02/11/11

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SIGNATURE - SPECIAL AGENT

(b)(6),(b)(7)(C)

2/11/11  
DATE

REVIEWING SUPERVISOR

(b)(6),(b)(7)(C)

SIGNATURE - WITNESS

2/11/11  
DATE

SIGNATURE

DATE

I certify the evidence described in the page(s) of this inventory, not otherwise disposed of per attached documentations, was verified for final retention at Forensic Services Division this date.

SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
			THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT AT 950 MASSACHUSETTS AVE, APTS 320, BOSTON, MA., ON 2/11/11. THESE ITEMS ARE MARKED "AS 2/11/11" IDENTIFYING BY (b)(6),(b)(7)(C) OF THE BOSTON FIELD OFFICE.	
1	02/11/11	1	NOKIA CELL PHONE W/POWER CORD, BLACK IN COLOR, AT&T BRAND, LOCATED IN THE BEDROOM OF THE RESIDENCE.	NO VALUE
2	02/11/11	1	T MOBILE, HTC G2 CELL PHONE W/POWER CORD, LOCATED IN THE BEDROOM OF THE RESIDENCE.	NO VALUE
3	02/11/11	12	(12) MAGNETIC MEDIA TAPES IN A FEDEX BOX, LOCATED IN THE LIVINGROOM CLOSET OF THE RESIDENCE.	NO VALUE
TOTAL				NO VALUE

UNITED STATES SECRET SERVICE

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FINAL JAB

SSF 1544 (03/88)

*asefale*

If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET.

UNITED STATES SECRET SERVICE

# **CERTIFIED INVENTORY OF EVIDENCE**

**SERIAL NUMBER**  
102 2011 CB 000039

**EVIDENCE HELD AGAINST**

☐ SPECIMEN

**CASE NO.**

102-775-0060071-8

**SWARTZ AARON**

**OFFICE**

BOSTON FIELD OFFICE

EV (b)(6),(b)(7)(C)

**DATE OF INVENTORY**

02/25/11

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**PAGES**

**REVIEWING SUPERVISOR**

(b)(6),(b)(7)(C)

(b)(6),(b)(7)(C)

**DATE**

2/25/11

**SIGNATURE - WITNESS**

**DATE**

2/25/11

**SIGNATURE**

**DATE**

2/25/11

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**SIGNATURE - FORENSIC SERVICES DIVISION**

**DATE**

ITEM NO	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
1	02/25/11	1	THE BELOW LISTED EVIDENCE WAS RETRIEVED FROM CAMBRIDGE, MA POLICE DEPARTMENT ON 2/25/11. THESE ITEMS HAVE BEEN MARKED AND DATED "MP 2/25/11" IDENTIFYING SN (b)(6),(b)(7)(C) OF THE BOSTON FIELD OFFICE. ACER ASPIRE ONE MODEL 532H SERIAL NUMBERS: LUSAKOD0010011001E16 01	\$200.00
2	02/25/11	1	ROCKETFISH ENCLOSURE KIT CONTAINING ONE WESTERN DIGITAL 2TB HARD DRIVE SERIAL NUMBERS: WMAZAL626675	\$85.00
3	02/25/11	1	HP USB DRIVE MARKED 00458MKT1 85102	\$10.00
<b>TOTAL</b>				<b>\$295.00</b>

UNITED STATES SECRET SERVICE

FINAL JAB

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SSF 1544 (03/05)

## CHAIN OF CUSTODY LOG

<sup>A</sup> If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET.

[illegible]

# **CERTIFIED INVENTORY OF EVIDENCE**

SERIAL NUMBER  
102 2011 CE 000033

EVIDENCE HELD AGAINST

☐ SPECIMEN

CASE NO.

102-775-0060071-S

SWARTZ AARON

OFFICE

BOSTON FIELD OFFICE

EV (b)(6),(b)(7)(C)

DATE OF INVENTORY

02/11/11

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SIGNATURE - SPECIAL AGENT

DATE

(b)(6),(b)(7)(C)

REVIEWING SUPERVISOR

(b)(6),(b)(7)(C)

SIGNATURE - WITNESS

DATE

SIGNATURE

DATE

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SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
			<p>THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT ON 2/11/11 AT 950 MASSACHUSETTS AVE, APT #320, BOSTON, MA.</p> <p>THESE ITEMS ARE MARKED "AS 2/11/11" FOR IDENTIFICATION PURPOSES. AS IDENTIFIED BY SA (b)(6),(b)(7)(C) BOSTON FIELD OFFICE.</p>	
1	02/11/11	1	WIRELESS-G 2.4 GHZ BROADBAND ROUTER LINKSYS; BLUX AND BLACK, S/N # CDPG1G609626 LOCATED IN THE LIVING ROOM	\$30.00
2	02/11/11	1	MACBOOK MAC OSX INSTALL DISC 1 AND 2, GRAY, IN PAPER SLEEVE, LOCATED IN THE LIVING ROOM	\$10.00
3	02/11/11	1	MACBOOK USER GUIDE IN GRAY CARDBOARD CASE, S/N # 2V09082006, LOCATED IN THE LIVING ROOM	\$10.00
4	02/11/11	1	APPLE CARE SERVICE LETTER DISPATCH #R7276408 (6 PAGES), LOCATED IN THE LIVING ROOM	NO VALUE
5	02/11/11	1	GENIUS BAR WORK CONFIRMATION (2 PAGES) REPAIR # R7276313 AND R7276408, LOCATED IN THE LIVING ROOM	NO VALUE
TOTAL				\$50.00


UNITED STATES SECRET SERVICE

This form was electronically produced via OmniForm by USSS/ADMIN/MAO/PARS

SSF 1544 (03/08)

FINAL JAB

Casefile

CERTIFIED INVENTORY OF EVIDENCE (Continuation Sheet)			SERIAL NUMBER (FROM SSF 1544) 102 2011 CE 000033	PAGE 2 OF 3 PAGES
DATE OF INVENTORY 02/11/11		OFFICE BOSTON FIELD OFFICE		CASE NO. 102-775-0060071-8
ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
6	02/11/11	1	BROUGHT FORWARD DIGITAL MEDIA COMPACT FLASH 256MB SIMPLE TECH, LOCATED IN THE LIVING ROOM BOOKCASE	\$50.00 \$5.00
<b>TOTAL</b> 				<b>\$55.00</b>

UNITED STATES SECRET SERVICE

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SSF 1544A (03/86)

FINAL JAB

RIF

## CHAIN OF CUSTODY LOG

If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET.

[illegible]



# CERTIFIED INVENTORY OF EVIDENCE

SERIAL NUMBER  
102 2011 CE 000036

EVIDENCE HELD AGAINST

☐ SPECIMEN

SWARTZ AARON

CASE NO.

102-775-0060071-8

OFFICE

BOSTON FIELD OFFICE

EVIDENCE INVENTORIED BY

(b)(6),(b)(7)(C)

DATE OF INVENTORY

02/11/11

PAGE

1

OF

2

PAGES

SIGNATURE - SPECIAL AGENT

DATE

(b)(6),(b)(7)(C)

SIGNATURE - WITNESS

DATE

REVIEWING SUPERVISOR

(b)(6),(b)(7)(C)

SIGNATURE

DATE

I certify the evidence described in the page(s) of this inventory, not otherwise disposed of per attached documentations, was verified for final retention at Forensic Services Division this date.

SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
1	02/11/11	40	THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT ON 2/11/11 AT 950 MASSACHUSETTS AVE. APT #320, BOSTON, MA.  THESE ITEMS ARE MARKED "AS 2/11/11" FOR IDENTIFICATION PURPOSES. AS IDENTIFIES SA (b)(6),(b)(7)(C) BOSTON FIELD OFFICE. FORTY MISC CD-R DISC WITH CASES AND MISC PAPERWORK, LOCATED IN THE BEDROOM,	\$40.00
2	02/11/11	2	TWO HARD DRIVE ENCLOSURES, LOCATED IN THE LIVING ROOM CLOSET	\$2.00
3	02/11/11	1	1 MOBILE SIDERICK, LOCATED IN THE LIVING ROOM CLOSET	NO VALUE
4	02/11/11	1	SONY MICRO VAULT, ORANGE, LOCATED IN WALLET	\$5.00
TOTAL				\$47.00

UNITED STATES SECRET SERVICE

This form was electronically produced via OmniForm by USSSIADMIN/MNO/PARS

SSF 1544 (03/88)

FINAL JAB

Casefile

If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET.

UNITED STATES SECRET SERVICE

# **CERTIFIED INVENTORY OF EVIDENCE**

SERIAL NUMBER  
102 2011 CR 000037

EVIDENCE HELD AGAINST

☐ SPECIMEN

CASE NO.

102-775-0060071-S

SWARTZ AARON

OFFICE

BOSTON FIELD OFFICE

EVIDENCE

(b)(6),(b)(7)(C)

DATE OF INVENTORY

02/11/11

PAGE

1

OF

3

PAGES

SIGNATURE - SPECIAL AGENT

2/11/11  
DATE

REVIEWING SUPERVISOR

(b)(6),(b)(7)(C)

(b)(6),(b)(7)(C)

SIGNATURE - WITNESS

2/11/11  
DATE

SIGNATURE

2/11/11  
DATE

I certify the evidence described in the page(s) of this inventory, not otherwise disposed of per attached documentations, was verified for final retention at Forensic Services Division this date.

SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
			<p>THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT ON 2/11/11 AT 950 MASSACHUSETTS AVE, APT #320, BOSTON, MA.</p> <p>THESE ITEMS ARE MARKED "AS 2/11/11" FOR IDENTIFICATION PURPOSES. AS IDENTIFIES SA (b)(6),(b)(7)(C) BOSTON FIELD OFFICE.</p>	
1	02/11/11	1	"OFFICE DEPOT" DVD/R; HANDWRITTEN LABEL "BIBLIOGRAPHIC DATA WHICH MYSTERIOUSLY APPEARED ONE DAY AS THE SUN WAS SHINING", LOCATED IN THE BEDROOM	\$5.00
2	02/11/11	1	POCKET NOTEBOOK WITH BLUE AND WHITE HEXAGON AND RECTANGLE DESIGN COVER. LOCATED IN THE BEDROOM	NO VALUE
3	02/11/11	1	PURE DRIVE MODEL 761 EXTERNAL HARD DRIVE QUICK START GUIDE WITH CD, CONTAINED IN PLASTIC BAG, LOCATED IN THE BEDROOM	\$20.00
4	02/11/11	1	DISC UTILITY INTERNAL HARD DRIVE UPGRADE KIT, YELLOW AND ORANGE CD IN WHITE PAPER CASE, LOCATED IN THE BEDROOM	\$20.00
			<b>TOTAL</b>	<b>\$45.00</b>

UNITED STATES SECRET SERVICE

FINAL JAB

This form was electronically produced via OmniForm by USSS/ADMIN/MNO/PARS

SSF 1544 (03/09)

CASE FILE

CERTIFIED INVENTORY OF EVIDENCE (Continuation Sheet)			SERIAL NUMBER (FROM SSF 1544) 102 2011 CE 000037	PAGE 2 OF 3 PAGES
DATE OF INVENTORY 02/11/11		OFFICE BOSTON FIELD OFFICE		CASE NO. 102-775-0060071-8
ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
✓ 5	02/11/11	1	BROUGHT FORWARD  SEAGATE SATA 3.5" BARRACUDA INTERNAL HARD DRIVE INSTALLATION GUIDE, LOCATED IN THE BEDROOM	\$45.00  \$5.00
TOTAL →				\$50.00

UNITED STATES SECRET SERVICE

This form was electronically produced via OmniForm by USSS/ADMIN/MNO/PARS

SSF 1544A (03/88)

FINAL JAB

R I F

If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET.

UNITED STATES SECRET SERVICE

# CERTIFIED INVENTORY OF EVIDENCE

SERIAL NUMBER  
102 2011 CE 000119

EVIDENCE HELD AGAINST

☐ SPECIMEN

CASE NO

102-775-0060071-S

SWARTZ AARON

OFFICE

BOSTON FIELD OFFICE

EVIDENCE INVENTORY (b)(6),(b)(7)(C)

(b)(6),(b)(7)(C)

6/7/11

DATE OF INVENTORY

06/07/11

PAGE

1

OF

2

PAGES

REVIEWING SUPERVISOR

(b)(6),(b)(7)(C)

SIGNATURE - SPECIAL AGENT

(b)(6),(b)(7)(C)

DATE

(b)(6),(b)(7)(C)

SIGNATURE - WITNESS

DATE

SIGNATURE

DATE

I certify the evidence described in the page(s) of this inventory not otherwise disposed of per attached documentations, was verified for final retention at Forensic Services Division this date.

SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO.

DATE RECEIVED

QUANTITY

DESCRIPTION OF EVIDENCE

VALUE

1 06/07/11

1

THE BELOW LISTED EVIDENCE WAS RECEIVED BY SA (b)(6),(b)(7)(C) SFO, FROM THE LAW OFFICES OF GOOD & CORMIER, 83 ATLANTIC AVENUE, BOSTON, MA., ON 6/7/11. THIS EVIDENCE WAS TURNED OVER BY SUSPECT AARON SWARTZ.

THESE ITEMS HAVE BEEN MARKED AND DATED "MP 6/7/11" IDENTIFYING SA (b)(6),(b)(7)(C) OF THE BOSTON FIELD OFFICE.

SAMSUNG HDD 1500GB HARD DRIVE

SERIAL NUMBERS:

S1Y6J1CZ800326

\$25.00

2 06/07/11

1

SAMSUNG HDD 1500GB HARD DRIVE

SERIAL NUMBERS:

S1Y6J1CZ800329

\$25.00

3 06/07/11

1

SAMSUNG HDD 1500GB HARD DRIVE

SERIAL NUMBERS:

S1Y6J1CZ800331

\$25.00

4 06/07/11

1

SAMSUNG HDD 1500GB HARD DRIVE

SERIAL NUMBERS:

S1Y6J1CZ800332

\$25.00

TOTAL

\$100.00

UNITED STATES SECRET SERVICE

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SSF 1544 (03/86)

FINAL JAB

Original

## CHAIN OF CUSTODY LOG

If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET.

[illegible]

# CERTIFIED INVENTORY OF PERSONAL PROPERTY

SERIAL NUMBER

15287

NAME OF SUBJECT

Aaron Swartz

CASE NO

102-775-60071

OFFICE CONDUCTING INVENTORY

BOS / 102

DATE OF INVENTORY

6/7/11

PAGE 1 OF 1 PAGES

SIGNATURE

(b)(6).(b)(7)(C)

INVENTORING BELOW LISTED PROPERTY

(b)(6).(b)(7)(C)

(b)(6).(b)(7)(C)

TIME RECEIVED

DATE RECEIVED

13 12

6/7/11

ITEM # QUANTITY

DESCRIPTION OF PROPERTY

1

1

Samsung HDD SN S1Y6J1CZ800326

2

1

Samsung HDD SN S1Y6J1CZ800329

3

1

Samsung HDD SN S1Y6J1CZ800331

4

1

Samsung HDD SN S1Y6J1CZ800332

I hereby acknowledge relinquishing the above listed property and have been informed that I have thirty (30) days from the date of this notice to reclaim my property or designate someone in writing to receive it. If after thirty (30) days, the property has not been claimed, the U.S. Secret Service will commence abandonment procedures. (THIS NOTICE WILL SERVE AS YOUR ONLY NOTICE.)

SIGNATURE OF SUBJECT:

## RETURN OF PROPERTY

I ACKNOWLEDGE RECEIPT OF THE ABOVE LISTED PROPERTY WITH THE FOLLOWING EXCEPTIONS

☐ NONE (List items by number)

TIME RECEIVED:

DATE RECEIVED:

SIGNATURE OF SUBJECT

SIGNATURES OF PERSONS CERTIFYING RETURN OF PROPERTY

1

2.

UNITED STATES SECRET SERVICE

This form was electronically produced via OmniForm by USSS/ADMIN/INCPARS

A TO SUBJECT UPON EXECUTION

SSF 3051 (08/2002)



MC1(311)  
FINANCIAL CRIMES INVESTIGATION  
CTRL D CASE NUMBER: 102-775-0060071-S  
CC NR: 1

OFF: 102 CASE TITLE: AARON SWARTZ

CASE TYPE: 775.51  
SARS CASE(Y/N): N  
OTHER NON-PRIORI  
CPG TYPE: 848960

PRIMARY ---LOCATION-----  
UNITS ST CITY  
00000001 MA CAMBRIDGE

CTRL HAS ADDITIONAL SECONDARY  
RE-OPEN FIELD ORIG IOD ZONE TRANSF  
X

AGENT FOR CASE CREDIT  
(b)(6),(b)(7)(C)

AGENT	AGENT	1823	DATE	DATE	DOLLAR AMOUN
ID NR	OFF	OFF	ASSIGNED	CLOSED	POTENTIAL LO
(b)(2),(b)(7)	102	102	010411	MMDDYY	0000050000
					CURRENT
					ACTUAL LOSS

NUMBER OF DEVICES:

AC:

HEADQUARTERS:

OFFENDER IDENTIFIED (Y OR N):

REMARKS:

JUDICIAL ACTION---BLANKET SPECIF  
FEDERAL: ACCEPT DECLINE DECLIN  
STATE :

F3 F4 F5 F6  
CASE TICK SECD JUST

F9 F10 DATE EST 011911  
MENU EXIT DATE CPO 011911

102

# PERSONAL HISTORY SUMMARY

CASE NO

102-775-60071

UNKNOWN ☐ SUBJECT ☐

SUBJECT (LAST FIRST MI)

AFFIX TITLE

ARMED AND DANGEROUS

SWARTZ, AARON, MNU

ALIAS/NICKNAME (LAST FIRST MI)

ALIAS/NICKNAME (LAST FIRST MI)

ALIAS/NICKNAME (LAST FIRST MI)

SEX

☒ MALE (M) ☐ FEMALE (F)

RACE

☐ ASIAN/PACIFIC ISLANDER (A) ☐ BLACK (B) ☒ WHITE (W)  
☐ AMERICAN INDIAN/ALASKAN NATIVE (I)

HEIGHT

WEIGHT

5 FT 6 IN 120

EYES

☐ BLUE (BLU) ☐ GREEN (GRN) ☐ GRAY (GRY) ☐ BLACK (BLK) ☐ PINK (PNK) ☐ MAROON (MAR)  
☒ BROWN (BRO) ☐ HAZEL (HAZ)

HAIR

☒ BROWN (BRO) ☐ BLACK (BLK) ☐ WHITE (WHI)  
☐ BLOND (BLN) ☐ SANDY (SOY) ☐ RED (RED)  
☐ GRAY (GRY) ☐ BALD (BAL)

DOB

MM DD YY  
1 1 0 8 8 6

EST YEAR OF BIRTH  
(If DOB not known)

POB (CITY/STATE/COUNTRY)

CHICAGO, IL

DOB

MM DD YY

DOB

MM DD YY

INTEREST

☐ APPLICANT (1) ☐ REGISTERED OWNER (5) ☐ VICTIM (10) ☐ WANTED WARRANT (15) ☐ SUBJECT (19)  
☐ EMPLOYEE (2) ☐ ENDORSER (6) ☐ WITNESS (11) ☐ FUGITIVE (16) ☐ EX-MAJOR OFFENDER (20)  
☐ CONTRACT EMPLOYEE (3) ☐ REQUESTER (7) ☐ SUSPECT (12) ☐ PROTECTEE (17) ☐ HCB USE ONLY (21-27)  
☐ PAYEE (4) ☐ COMPLAINANT (8) ☐ DEFENDANT (13) ☐ SUPPLY HOUSE CANVASS (18) ☐ CARDHOLDER (28)  
☐ PLAINTIFF (9) ☐ WANTED FOR QUESTIONING (14) ☒ DECEASED

OCCUPATION

OCCUPATION

OCCUPATION

RESEARCHER

KNOWN TO AGENT (LAST, FIRST MI)

(b)(6).(b)(7)(C)

JO NO

SSN

SSN

SSN

FBI NO

(b)(2).(b)(7)

(b)(6).(b)(7)(C) -0493

(b)(6).(b)(7)(C) -1374

675304KDO

MILITARY SERVICE NO / BRANCH

DATES OF DUTY

TYPE OF DISCHARGE

VA CLAIM NO

PASSPORT (COUNTRY/NO)

IO NO / STATE LOCAL P D

LOCAL P D NO

LOCAL P D NO

(b)(6).(b)(7)(C)

MA10556559

DRIVERS LICENSE (STATE/NO)

DRIVERS LICENSE (STATE/NO)

UNK

SCARS (DESCRIBE)

TATTOOS (DESCRIBE)

SPEECH DEFECT (EXPLAIN)

ACCENT (DESCRIBE)

MISSING LIMB (DESCRIBE)

PHYSICAL DEFORMITY (DESCRIBE)

ADDICT (SPECIFY)

HANDWRITING

PHOTOGRAPH

FINGERPRINTS

PALMPRINTS

MM DD YY

MM DD YY

MM DD YY

MM DD YY

NS ALIEN NO

MISC NO

MISC NO

OTHER AGENCY NO

UNITED STATES SECRET SERVICE

SSF 1599 (10/90)

Case No: 102-775-60071

BANK/CREDIT NAME		ACCOUNT NO		ADDRESS	
NAME		ACCOUNT NO		ADDRESS	
HOBBY/SKILLS		ORGANIZATIONS/AFFILIATIONS/OTHER REMARKS			
RESIDENCE ADDRESS					
NUMBER		STREET		CITY	STATE ZIP CODE CTRY
PHONE		PHONE		REMARKS	
AREA CODE	NUMBER EXT	AREA CODE	NUMBER EXT		
SECONDARY ADDRESS					
NUMBER		STREET		CITY	STATE ZIP CODE CTRY
PHONE		PHONE		REMARKS	
AREA CODE	NUMBER EXT	AREA CODE	NUMBER EXT		
VEHICLE OWNED/USED/LEASED					
TAG NO	STATE	EXPIRATION MM YY	YEAR	MAKE	MODEL/STYLE COLOR VIN
TAG NO	STATE	EXPIRATION MM YY	YEAR	MAKE	MODEL/STYLE COLOR VIN
EMPLOYER NAME					
HARVARD UNIVERSITY		EMPLOYMENT DATES		DUTIES PERFORMED RESEARCHER	
PHONE		ADDRESS		SUPERVISOR'S NAME	
AREA CODE	NUMBER EXT	NUMBER	STREET	CITY	STATE ZIP CODE CTRY
EMPLOYER NAME					
EMPLOYMENT DATES		DUTIES PERFORMED			
PHONE		SUPERVISOR'S NAME			
AREA CODE	NUMBER EXT	NUMBER	STREET	CITY	STATE ZIP CODE CTRY
RELATIVES AND/OR ASSOCIATES					
RELATIONSHIP	NAME		ADDRESS		AREA CODE/PHONE NO
FATHER	(b)(6),(b)(7)(C)				
MOTHER					
LAST ARREST DATE/LOCATION/AGENCY/OFFENSE					
NCIC WANTS OR WARRANTS (Date Check Made)		OTHER WANTS OR WARRANTS (Specify - Agency) (Date Check Made)			
MM	DD	YY			
0	1	0	7	1	1
DECLARATION		SPECIAL AGENT COMPLETING FORM		DATE FORM COMPLETED	
FEDERAL	<input type="checkbox"/> BLANKET <input type="checkbox"/> SPECIFIC				
STATE	<input type="checkbox"/> BLANKET <input type="checkbox"/> SPECIFIC	(b)(6),(b)(7)(C)		01/18/11	
UNITED STATES SECRET SERVICE					

# Judicial Action Summary

Case No <b>102-775-60071</b>		Defendant's Name (last first mi) <b>SWARTZ, AARON, MNU</b>	
Arrest Date MM DD YY <b>0 7 1 9 1 1</b>	Office No <b>102</b>	Offense Case Type <b>775.510</b>	Agent for Arrest Credit <b>(b)(6),(b)(7)(C)</b>
Initial Appearance <input type="checkbox"/> Dismiss <input type="checkbox"/> Held	Judicial District <b>BOSTON</b>	Name of Judge/Magistrate <b>JUDGE JUDITH G. DEIN</b>	Appearance Date MM DD YY <b>0 7 1 9 1 1</b>
Preliminary Hearing/Arraignment <input type="checkbox"/> Dismiss <input type="checkbox"/> Held <input checked="" type="checkbox"/> Continued	Name of Judge/Magistrate <b>JUDGE JUDITH G. DEIN</b>	Bar <b>\$100,000.00</b>	Appearance Date MM DD YY <b>0 7 1 9 1 1</b>
Grand Jury <input type="checkbox"/> No Bill <input checked="" type="checkbox"/> True Bill	Grand Jury Judicial District <b>BOSTON</b>	Grand Jury Date MM DD YY <b>0 7 1 4 1 1</b>	
Trial Court <input type="checkbox"/> Federal <input type="checkbox"/> State <input type="checkbox"/> Municipal <input type="checkbox"/> Ct Martial	Judge/Magistrate	Appearance Date MM DD YY	
Final Plea Entered <input type="checkbox"/> Guilty <input type="checkbox"/> Not Guilty <input type="checkbox"/> Nolo Contendere <input type="checkbox"/> Civil <input type="checkbox"/> Other (explain)			
Disposition <input type="checkbox"/> Conviction <input type="checkbox"/> Acquitted <input type="checkbox"/> Nolle Pros <input type="checkbox"/> Other (explain)			
Agent for Disposition Credit	ID Number	1823 off	SA off
Sentence YY MM DD	Suspended YY MM DD	Probation YY MM DD	Probation Start Date MM DD YYYY
Sentence/Disposition Date MM DD YY	Disposition Office Number	Sentencing Judge	
Terms of Sentence			
Agent Assisting in Arrest	Agent Assisting in Arrest	Agent Assisting in Arrest	
Violations/Description <b>18 USC 1343 Wire Fraud; 18 USC 1030 (a) (4) Computer Fraud; 18 USC 1030 (a) (2) Theft of Information; 18 USC 1030 (a) (5) (B) Recklessly Damaging a Computer; 18 USC 2 Aiding and Abetting</b>		Violation <input checked="" type="checkbox"/> Federal <input type="checkbox"/> State	
Remarks (i.e. scheduled court appearances, bond, etc.)			

RECEIVED  
 US SECRET SERVICE  
 2011 NOV 29 P 3:53  
 BOSTON, MA

UNITED STATES GOVERNMENT

MEMORANDUM

Date: August 1, 2011  
REPLY TO  
ATTN OF: SAIC - Boston  
SUBJECT: Photograph  
TO: SAIC - Investigative Support Division

U. S. Secret Service

File: J-102-775-60071-S

Attached please find a photograph of *Aaron Swartz* for your files

(b)(6).(b)(7)(C)

For Steven D Ricciardi  
Special Agent in Charge

Prepared on 07/19/2011

United States Marshals Service - LIMITED OFFICIAL USE  
**Booking Package Photos**



USMS NUMBER: 94045-038  
ORI: MAUSM0100

Date of Arrest: 07/19/2011  
FBI Number:

Last Name: SWARTZ  
First Name: AARON  
Middle Name:

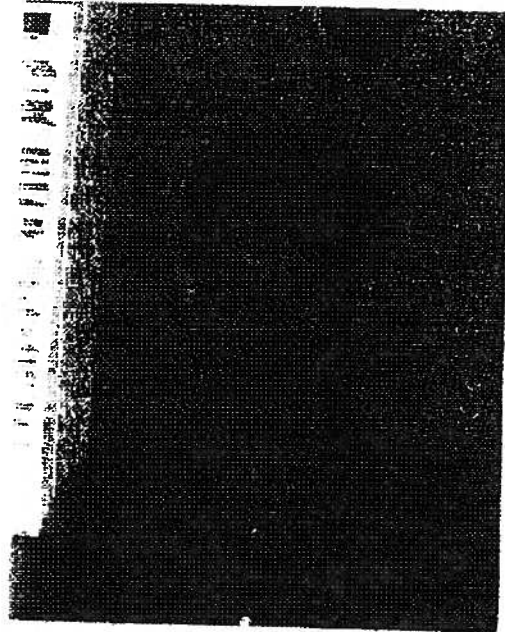
Sex: M  
Race Code: W  
DOB: 11/08/1986

Height: 5'06"  
Weight: 130 LBS

Eye Color: BRO  
Hair Color: BLK

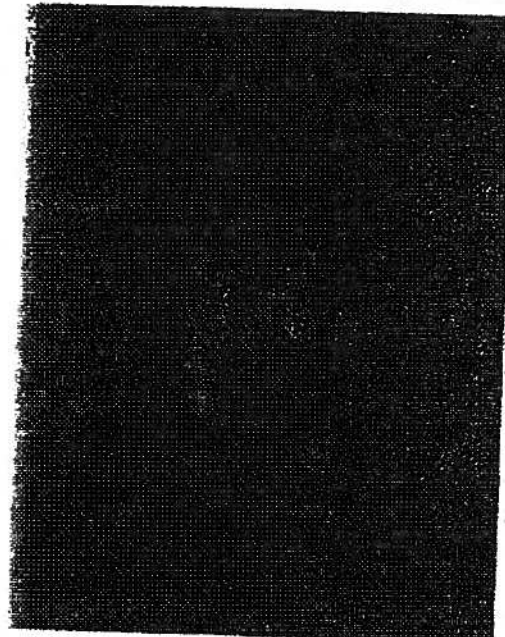
View : FRONT

Date Taken: 07/19/2011



View : RIGHT

Date Taken: 07/19/2011



Prepared on: 07/19/2011

United States Marshals Service - LIMITED OFFICIAL USE  
**Booking Package Photos**



USMS NUMBER: 94045-038  
ORI: MAUSM0100

Date of Arrest: 07/19/2011  
FBI Number:

Last Name: SWARTZ  
First Name: AARON  
Middle Name:

Sex: M  
Race Code: W  
DOB: 11/08/1986

Height: 5'06"  
Weight: 130 LBS

Eye Color: BRO  
Hair Color: BLK

"Limited Official Use"

This information is the Property of the U.S. Marshals Service and Shall Not be Publicly Released or Disseminated Without U.S. Marshals Service Authority.

Page 2 of 2

RIF

UNITED STATES GOVERNMENT  
**MEMORANDUM**  
U.S. SECRET SERVICE

Date: August 1, 2011

File: J-102-775-60071-S

Reply To  
Attn Of: SAIC - Boston

Subject: Fingerprints of *Aaron Swartz*

To: SAIC - Forensic Services Division

Attached please find a FD-249 of *Aaron Swartz*  
for your files.

(b)(6) (b)(7)(C)

For: Steven D. Ricciardi  
Special Agent In Charge

2011



SWARTZ, AARON

(b)(6),(b)(7)  
(C)

0493

19861108

M

M

866

110

B



MASS10200

UNITED STATES SECRET SERVICE

PALENTS

11/10/19

20110719

20110719

11

11/10/19

(b)(6) (b)(7)(C)

(b)(6) (b)(7)(C)

20110719

2600-Fraud By Wire

20110719

2609-Fraud And Abuse - Computer

Medical Concerns

## FINAL DISPOSITION REPORT

Leave Blank

Note: This vital report must be prepared on each individual whose arrest fingerprints have been forwarded to the FBI Criminal Justice Information Services Division without final disposition noted thereon. If no final disposition is available to arresting agency, complete left side and forward the form when case referred to prosecutor and/or courts. Agency on notice as to final disposition should complete this form and submit to FBI, CJIS Division, Clarksburg, WV 26306.

(See instructions on reverse side)

FBI No. <b>675304KD0</b>		Final Disposition & Date (If convicted or subject pleaded guilty to lesser charge, include this modification with disposition.)
Name on fingerprint Card Submitted to FBI Last First Middle <b>Swartz Aaron</b>		
Date of Birth <b>11/08/86</b> Sex <b>M</b>		
Henry Fingerprint Classification From FBI 1-8 Response		
State Bureau No. (SID) <b>MA10556559</b>	Social Security No. (SOC) (b)(6) <b>0493</b>	This Form Submitted By: (Name, Title, Agency, ORI No., City & State)  Signature _____ Date _____ Title _____
Contributor of Fingerprints (Include complete name and location of agency together with ORI number.) <b>U.S. Secret Service 10 Causeway St., Suite 447 Boston, MA 02222 MASS 10200</b>		
Arrest No. (OCA)	Date Arrested or Received <b>7/19/11</b>	
Offenses Charged at Arrest <b>1343 - Wire Fraud 1030 (a) (4) - Computer Fraud 1030 (a) (2) - Theft of information from a computer 1030 (a) (5) (B) - Recklessly damaging a computer Section 2- Aiding and Abetting</b>		<input type="checkbox"/> COURT ORDERED EXPUNGEMENT: Certified or Authenticated Copy of Court Order Attached.

2011

## U. S. Secret Service NCIC/NLETS Response Display

ORI: MASS10200

## Response:

FROM:NLETS) ON 08/01/11 AT 12:38:49 MASS10200

CR.WVFBINF00

09:38 08/01/2011 44413

09:38 08/01/2011 47045 MASS10200

TXT

WDR/2L01-NCIYMASS102000

ATN (b)(6)(b)(7)(C)

\*\*\*\*\* CRIMINAL HISTORY RECORD \*\*\*\*\*

Data As Of 2011-08-01

\*\*\*\*\* Introduction \*\*\*\*\*

This rap sheet was produced in response to the following request:

FBI Number 675304K00

Request Id

Purpose Code

C

Attention

(b)(6)(b)(7)(C)

The information in this rap sheet is subject to the following caveats:

This record is based only on the FBI number in your request-675304K00.

Because additions or deletions may be made at any time, a new copy should be requested when needed for subsequent use. (US; 2011-08-01)

All arrest entries contained in this FBI record are based on fingerprint comparisons and pertain to the same individual. (US; 2011-08-01)

The use of this record is regulated by law. It is provided for official use only and may be used only for the purpose requested. (US; 2011-08-01)

\*\*\*\*\* IDENTIFICATION \*\*\*\*\*

Subject Name(s)

SWARTZ, AARON H

SWARTZ, AARON (AKA)

Subject Description

FBI Number:

675304K00

State Id Number

MA10356589 (MA)

Social Security Number

0176100493

Sex

Male

Race

White

Height

5'06"

Weight

120

Hair Color

Brown

Eye Color

Brown

Date of Birth

1986-11-08

Fingerprint Pattern ..

00 00 00 00 00 00 00 00

Place of Birth

IL

Citizenship

US

Fingerprint Images

Photo Images

Photo Image Available

Available Image

(No Photo Image Transmitted

FBI-CJIS DIV-CLARKSBG CLARKSBURG WVFBINF00

Other

Comment: FBI has two photos associated with

arrest date of 2011/07/19)

Photo Image Available US SECRET SERVICE BOSTON MASS10200  
 Available Image Other  
 (No Photo Image Transmitted)  
 Comment: Arresting agency has photo associated  
 with arrest date of 2011/07/19)  
 \*\*\*\*\* CRIMINAL HISTORY \*\*\*\*\*  
 ===== Cycle 001 =====  
 Earliest Event Date 2011-07-19  
 -----  
 Arrest Date 2011-07-19  
 Arrest Case Number  
 Arresting Agency MASS10200 US SECRET SERVICE BOSTON  
 Subject's Name SWARTZ, AARON  
 Charge 01  
 Charge Literal 2608-FRAUD BY WIRE  
 Agency MASS10200 US SECRET SERVICE BOSTON  
 Severity  
 Charge 02  
 Charge Literal 2609-FRAUD AND ABUSE - COMPUTER  
 Agency MASS10200 US SECRET SERVICE BOSTON  
 Severity  
 \*\*\*\*\* INDEX OF AGENCIES \*\*\*\*\*  
 Agency FBI-CJIS DIV-CLRKSBG CLARKSBURG; WVFBINF00;  
 Address 1000 CUSTER HOLLOW RD  
 CLARKSBURG, WV 26306  
 -----  
 Agency US SECRET SERVICE BOSTON; MASS10200;  
 Address STE 791 10 CAUSEWAY ST  
 BOSTON, MA 022221080  
 \* \* \* END OF RECORD \* \* \*

<< Previous

Next >>

Cancel

RIF

## U. S. Secret Service NCIC/NLETS Response Display

ORI: MASS10200

Response: FROM(NLETS) ON 08/01/11 AT 12:38:50 MASS10200

CR.MA1110000

09:38 08/01/2011 03098

09:38 08/01/2011 47046 MASS10200

TXT

HDR/2L01-NCIYMASS102000

ATN:(b)(6)(b)(7)(C)

THIS RECORD IS BASED ONLY ON THE SID NUMBER IN YOUR REQUEST-

SID/MA10556559

FBI/675304K00

PUR/C

NAME:

SWARTZ, AARON H

ADDRESS

(b)(6)(b)(7)(C)

DOB	SSN	RACE	SEX	HEIGHT	WEIGHT	HAIR	EYE COLOR	BIRTH PLACE
19861108		W	M	506	120	BRO	BRO	IL
MISCELLANEOUS NUMBER		CITIZENSHIP		NON-PP-CLASS				

EMPLOYER

124 MOUNT AUBURN ST #52 CAMBRIDGE, MA

OCCUPATION

RESEARCH AT EAR

EVENT DATA

ARREST NAME

SWARTZ, AARON H

AGENCY

CAMBRIDGE PD LS 1

ARREST DATE	CASE NUMBER	OBTN	OFFENSE DATE
20110106		TCAM201100032	

OFFENSES

20110106 B&amp;E DAYTIME FOR FELONY C266 S18

OFFENSES

20110106 B&amp;E DAYTIME FOR FELONY C266 S18

DISPOSITIONS

END OF RECORD

&lt;&lt; Previous

Next &gt;&gt;

Cancel

## U. S. Secret Service NCIC/NLETS Response Display

ORI: MASS10200-0

**Response:** FROM(NCIC) ON 08/01/11 AT 12:38:51 MASS10200-0

FL01-NCIYMASS102000

MASS10200

THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR  
RECORD REQUEST FOR FBI/675304KD0. INDIVIDUAL'S RECORD WILL BE  
COMPLETE WHEN ALL RESPONSES ARE RECEIVED FROM THE FOLLOWING SOURCES:

FBI - FBI/675304KD0  
MASSACHUSETTS - STATE ID/MA10556559

END

Next >>Cancel

RIF

CJIS 988081 02/16/2012 1012 S0751/6950.

UN.

2LO1111 QUERY

MASS102S0

THIS INTERSTATE IDENTIFICATION INDEX RESPONSE IS THE RESULT OF YOUR  
RECORD REQUEST FOR FBI/675304KD0. INDIVIDUAL'S RECORD WILL BE  
COMPLETE WHEN ALL RESPONSES ARE RECEIVED FROM THE FOLLOWING SOURCES:

FBI - FBI/675304KD0

MASSACHUSETTS - STATE ID/MA10556559

END.>-<

CJIS 988081 02/16/2012 1012 S0753/6950.

UL.

CR.WVFBINF00

08:14 02/16/2012 26734

08:14 02/16/2012 10301 MASS102S0

TXT

HDR/2L01 TR

ATN (b)(6) (b)(7)(C)

\*\*\*\*\* CRIMINAL HISTORY RECORD \*\*\*\*\*

Data As Of 2012-02-16

\*\*\*\*\* Introduction \*\*\*\*\*

This rap sheet was produced in response to the following request:

FBI Number 675304KD0

Request Id

Purpose Code

C

Attention

(b)(6) (b)(7)(C)

The information in this rap sheet is subject to the following caveats:

This record is based only on the FBI number in your request-675304KD0.

Because additions or deletions may be made at any time, a new copy  
should be requested when needed for subsequent use. (US; 2012-02-16)

All arrest entries contained in this FBI record are based on  
fingerprint comparisons and pertain to the same individual. (US;  
2012-02-16)

The use of this record is regulated by law. It is provided for official  
use only and may be used only for the purpose requested. (US;  
2012-02-16)

\*\*\*\*\* IDENTIFICATION \*\*\*\*\*

Subject Name(s)

SWARTZ, AARON H

SWARTZ, AARON (AKA)

Subject Description

FBI Number

State Id Number

675304KD0

MA10556559 (MA)

Social Security Number

(b)(6) (b) 0493

Sex

Race

Male

White

Height

Weight

5'06"

120

Hair Color

Eye Color

Brown

Brown

(her)

Date of Birth

1986-11-08

Fingerprint Pattern

UP UC UP UP UP UC UP UP UP (C



IL  
Fingerprint Images  
Photo Images  
Photo Image Available  
Available Im

Citizenship  
U

FBI-CJIS DIV-CLRKSBG CLARKSBURG WVFBINF00

age Other  
(No Photo Image Transmitted)

Comment:FBI has two photos associated with  
arrest date of 2011/07/19)

Photo Image Available US SECRET SERVICE BOSTON MASS10200  
Available Image Other

(No Photo Image Transmitted)

Comment:Arresting agency has photo associated  
with arrest date of 2011/07/19)

\*\*\*\*\* CRIMINAL HISTORY \*\*\*\*\*  
===== Cycle 001 =====

Earliest Event Date 2011-07-19

-----  
Arrest Date 2011-07-19

Arrest Case Number

Arresting Agency MASS10200 US SECRET SERVICE BOSTON

Subject's Name SWARTZ,AARON

Charge 01

Charge Literal 2608-FRAUD BY WIRE

Agency MASS10200 US SECRET SERVICE BOSTON

Severity

Charge 02

Charge Literal 2609-FRAUD AND ABUSE - COMPUTER

Agency MASS10200 US SECRET SERVICE BOSTON

Severity

\*\*\*\*\* INDEX OF AGENCIES \*\*\*\*\*

Agency FBI-CJIS DIV-CLRKSBG CLARKSBURG; WVFBINF00;

Address

1000 CUSTER HOLLOW RD  
CLARKSBURG, WV 26306

-----  
Agency US SECRET SERVICE BOSTON; MASS10200;

Address

STE 791 10 CAUSEWAY ST  
BOSTON, MA 022221080

\* \* \* END OF RECORD \* \* \*

RIF

\*\*\*\*\* WARNING \*\*\*\*\* WARNING \*\*\*\*\*

THIS INFORMATION IS CORI. IT IS NOT SUPPORTED BY FINGERPRINTS.  
 \*PLEASE CHECK THAT THE NAME REFERENCED BELOW MATCHES THE NAME AND DATE OF BIRTH\*  
 \*OF THE PERSON REQUESTED.

J 102-775-60071-5

\*\*\*\*\*  
 COMMONWEALTH OF MASSACHUSETTS  
 DEPARTMENT OF CRIMINAL JUSTICE INFORMATION SERVICES

\*\*\* PERSONS COURT SUMMARY \*\*\*

NAM: SWARTZ, AARON H FORMAL-NAM: AARON PCF: 00005176807  
 DOB: 11/08/86 SEX: M RAC: W POB: IL SSN: (b)(6)(b)(7) 0493  
 MOM: POP: HGT: 506 WGT: 130 HAI: BLK EYE: BRO  
 ADDRESS: 76 OXFORD ST CAMBRIDGE, MA

\*\*\*\*\* ADULT APPEARANCES \*\*\*\*\*

ARRAIGNMENT: (001)  
 ARG-DATE: 11/30/11 PD: CAM COURT: MIDDLESEX SUPERIOR DKT#: 20111133001  
 OFF: BREAKING AND ENTERING DT BLDG B&E DT  
 DISP: C 1/3/12 STATUS: O WPD:

ARRAIGNMENT: (002)  
 ARG-DATE: 11/30/11 PD: CAM COURT: MIDDLESEX SUPERIOR DKT#: 20111133002  
 OFF: BREAKING AND ENTERING DT BLDG B&E DT  
 DISP: C 1/3/12 STATUS: O WPD:

ARRAIGNMENT: (003)  
 ARG-DATE: 11/30/11 PD: MID COURT: MIDDLESEX SUPERIOR DKT#: 20111133003  
 OFF: LARCENY MORE O/\$250 LAR MORE  
 DISP: C 1/3/12 STATUS: O WPD:

ARRAIGNMENT: (004)  
 ARG-DATE: 11/30/11 PD: CAM COURT: MIDDLESEX SUPERIOR DKT#: 20111133004  
 OFF: CRIME OF (SPECIFY IN FULL) UNAUTH ACCESS/COMPTRCRIME OF  
 DISP: C 1/3/12 STATUS: O WPD:

ARRAIGNMENT: (005)

-ARG-DATE: 11/30/11 PD: CAM COURT: MIDDLESEX SUPERIOR DKT#: 20111133005  
OFF: CRIME OF (SPECIFY IN FULL) UNAUTH ACCESS/COMPTRCRIME OF  
DISP: C 1/3/12 STATUS: O WPD:

ARRAIGNMENT: (006)

ARG-DATE: 11/30/11 PD: CAM COURT: MIDDLESEX SUPERIOR DKT#: 20111133006  
OFF: CRIME OF (SPECIFY IN FULL) UNAUTH ACCESS/COMPTRCRIME OF  
DISP: C 1/3/12 STATUS: O WPD:

ARRAIGNMENT: (007)

ARG-DATE: 07/19/11 PD: FED COURT: BOSTON FEDERAL DKT#: 111026001  
OFF: FRAUD (SPECIFY) WIRE FRD  
DISP: CNT1 C STATUS: O WPD:

ARRAIGNMENT: (008)

ARG-DATE: 07/19/11 PD: FED COURT: BOSTON FEDERAL DKT#: 111026001A  
OFF: FRAUD (SPECIFY) COMPUTER FRD  
DISP: CNT2 C STATUS: O WPD:

ARRAIGNMENT: (009)

ARG-DATE: 07/19/11 PD: FED COURT: BOSTON FEDERAL DKT#: 111026001B  
OFF: CRIME OF (SPECIFY IN FULL) UNL OBT INFO FR COMPCRIME OF  
DISP: CNT3 C STATUS: O WPD:

ARRAIGNMENT: (010)

ARG-DATE: 07/19/11 PD: FED COURT: BOSTON FEDERAL DKT#: 111026001C  
OFF: CRIME OF (SPECIFY IN FULL) RECKLESSLY DAM COMP CRIME OF  
DISP: CNT4 C STATUS: O WPD:

ARRAIGNMENT: (011)

ARG-DATE: 01/07/11 PD: MIP COURT: CAMBRIDGE DISTRICT DKT#: 1152CR000073A  
OFF: B&E DT W/I COM FEL B&E DT W/I FEL  
DISP: C 12/16/11 NP STATUS: C WPD:

ARRAIGNMENT: (012)

ARG-DATE: 01/07/11 PD: MIP COURT: CAMBRIDGE DISTRICT DKT#: 1152CR000075A

RIF

DISP: C 12/16/11 NP

B&E DT W/I FEL  
STATUS: C WPD:

\*\*\*\*\* \*\*\*\*\* \*\*\*\*\* \*\*\*\*\* END OF ADULT APPEARANCES \*\*\*\*\* \*\*\*\*\* \*\*\*\*\*

REQUESTED BY:

(b)(6);(b)(7)(C)

COMPLETED BY:

AGENCY: US SECRET SERVICE

# CERTIFIED INVENTORY OF EVIDENCE

EVIDENCE HELD AGAINST

SWARTZ AARON

☐ SPECIMEN

CASE NO.

102-775-0060071-8

SERIAL NUMBER

102 2011 CE 000032

OFFICE

BOSTON FIELD OFFICE

EVIDENCE INVENTORIED BY

(b)(6) (b)(7)(C)

DATE OF INVENTORY

02/11/11

PAGE

1

OF 3

PAGES

SIGNATURE - SPECIAL AGENT

2/11/11

DATE

(b)(6) (b)(7)(C)

REVIEWING SUPERVISOR

(b)(6) (b)(7)(C)

SIGNATURE - WITNESS

2/11/11

DATE

SIGNATURE

2/11/11

DATE

I certify the evidence described in the page(s) of this inventory, not otherwise disposed of per attached documentations, was verified for final retention at Forensic Services Division this date.

SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO.

DATE RECEIVED

QUANTITY

DESCRIPTION OF EVIDENCE

VALUE

1

02/11/11

1

THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT AT 950 MASSACHUSETTS AVE, APTS 320 BOSTON, MA., ON 2/11/11. THESE ITEMS ARE MARKED "AB 2/11/11" IDENTIFYING BA (b)(6) (b)(7)(C) BOSTON FIELD OFFICE.

NO VALUE

2

02/11/11

1

HARVARD UNIVERSITY EARNINGS STATEMENT FOR 12/11/10-12/17/10, ADDRESSED TO AARON SWARTZ, 950 MASSACHUSETTS AVE., CAMBRIDGE, MA., LOCATED IN THE BEDROOM CLOSET OF THE RESIDENCE.

NO VALUE

3

02/11/11

1

EARNINGS STATEMENT ADDRESSED TO AARON SWARTZ, 950 MASSACHUSETTS AVE., CAMBRIDGE, MA ORDERED BY GOOGLE INC. 1680 AMPHITHEATRE PARKWAY, MOUNTAIN VIEW, CA 94043. AMOUNT DUE \$1,703.35. LOCATED IN THE BEDROOM CLOSET OF THE RESIDENCE.

NO VALUE

MASTER'S THESIS M-876 LIND, WILLIAM EDMUND, THOMAS McDONALD: "A STUDY OF AN ENGINEER ADMINISTRATOR & HIS INFLUENCE ON PUBLIC ROADS IN THE US 1919-1953," LOCATED IN THE BEDROOM OF THE RESIDENCE.

2012 JAN -9 AM 7:05

U.S. SERVICE

TOTAL

NO VALUE

UNITED STATES SECRET SERVICE

FINAL JAB

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SSF 1544 (03/08)

Admire!

**CERTIFIED INVENTORY OF EVIDENCE**  
(Continuation Sheet)

SERIAL NUMBER (FROM SSF 1544)  
102 2011 CE 000032

PAGE 2 OF 3 PAGES

DATE OF INVENTORY  
02/11/11

OFFICE  
BOSTON FIELD OFFICE

CASE NO.  
102-775-0060071-8

ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
			BROUGHT FORWARD	NO VALUE
4	02/11/11	1	WESTERN DIGITAL MAIL-IN REBATE FORM, LOCATED IN THE BEDROOM OF THE RESIDENCE.	NO VALUE
5	02/11/11	1	ONE SHEET OF 8 1/2 X 11 NOTEBOOK PAPER WITH BLACK INKED LETTER TO AARON, SIGNED (b)(6) (b)(7)(C) DATED OCTOBER 27, 2009, LOCATED IN THE BEDROOM OF THE RESIDENCE.	NO VALUE
TOTAL				NO VALUE

UNITED STATES SECRET SERVICE

FINAL JAB

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SSF 1544A (03/88)

# CHAIN OF CUSTODY LOG

If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET

## CERTIFIED INVENTORY OF EVIDENCE (Continuation Sheet)

SERIAL NUMBER (FROM SSF 1544)  
102 2011 CE 000032

PAGE 3 OF 3 PAGES

DATE OF INVENTORY  
02/11/11

OFFICE  
BOSTON FIELD OFFICE

CASE NO  
102-775-0060071-8

ITEM NO	DATE	ACTION	REGISTRY NUMBER(S)	SIGNATURE
1-5	2/11/11	TO BTO VALLEY		(b)(6) (b)(7)(C)
911	1/1/11	TO SI (b)(6) (b)(7)(C)		
1-5	1/1/11	Returned to Major Wernberg ARMY		

# CERTIFIED INVENTORY OF EVIDENCE

SERIAL NUMBER  
102 2011 CE 000032

EVIDENCE HELD AGAINST

☐ SPECIMEN

CASE NO

102-775-0060071-8

SWARTZ AARON

OFFICE

BOSTON FIELD OFFICE

EVIDENCE INVENTORIED BY

(b)(6) (b)(7)(C)

DATE OF INVENTORY

02/11/11

PAGE

1

OF

3

PAGES

SIGNATURE - SPECIAL AGENT

2/11/11

DATE

(b)(6) (b)(7)(C)

SIGNATURE - WITNESS

2/11/11

DATE

REVIEWING SUPERVISOR

(b)(6) (b)(7)(C)

SIGNATURE

2/11/11

DATE

I certify the evidence described in the page(s) of this inventory, not otherwise disposed of per attached documentations, was verified for final retention at Forensic Services Division this date.

SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO.

DATE RECEIVED

QUANTITY

DESCRIPTION OF EVIDENCE

VALUE

1

02/11/11

1

THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT AT 950 MASSACHUSETTS AVE, APT# 320 BOSTON, MA., ON 2/11/11. THESE ITEMS ARE MARKED "AS 2/11/11" IDENTIFYING SA (b)(6) (b)(7)(C) BOSTON FIELD OFFICE.

NO VALUE

2

02/11/11

1

HARVARD UNIVERSITY EARNINGS STATEMENT FOR 12/11/10-12/17/10, ADDRESSED TO AARON SWARTZ, 950 MASSACHUSETTS AVE., CAMBRIDGE, MA., LOCATED IN THE BEDROOM CLOSET OF THE RESIDENCE.

NO VALUE

3

02/11/11

1

EARNINGS STATEMENT ADDRESSED TO AARON SWARTZ, 950 MASSACHUSETTS AVE., CAMBRIDGE, MA ORDERED BY GOOGLE INC. 1680 AMPHITHEATRE PARKWAY, MOUNTAIN VIEW, CA 94043, AMOUNT DUE \$1,703.35, LOCATED IN THE BEDROOM CLOSET OF THE RESIDENCE.

NO VALUE

TOTAL

NO VALUE

UNITED STATES SECRET SERVICE

FINAL JAB

This form was electronically produced via OmniForm by USSS/ADMIN/NO/PARS

SSF 1544 (03/00)

Casefile



**CERTIFIED INVENTORY OF EVIDENCE**  
(Continuation Sheet)


SERIAL NUMBER (FROM SSF 1544)  
102 2011 CE 000032

PAGE 2 OF 3 PAGES

DATE OF INVENTORY  
02/11/11

OFFICE  
BOSTON FIELD OFFICE

CASE NO.  
102-775-0060071-8

ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
			BROUGHT FORWARD	NO VALUE
4	02/11/11	1	WESTERN DIGITAL MAIL-IN REBATE FORM, LOCATED IN THE BEDROOM OF THE RESIDENCE.	NO VALUE
5	02/11/11	1	ONE SHEET OF 8 1/2 X 11 NOTEBOOK PAPER WITH BLACK INKED LETTER TO AARON, SIGNED (S)(6)(S)(7)( ) DATED OCTOBER 27, 2009, LOCATED IN THE BEDROOM OF THE RESIDENCE.	NO VALUE
TOTAL 				NO VALUE

UNITED STATES SECRET SERVICE

FINAL JAB

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SSF 1544A (03/99)

CHAIN OF CUSTODY LOG

If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET

IDENTIFIED INVENTORY OF EVIDENCE

Continuation Sheet)

SERIAL NUMBER (FROM LOG)

[illegible]

SEP 1944 (03/00)

# CERTIFIED INVENTORY OF EVIDENCE

EVIDENCE HELD AGAINST

SERIAL NUMBER  
102 2011 CE 000035

SWARTZ AARON

☐ SPECIMEN

CASE NO. 102-775-0060071-8

OFFICE BOSTON FIELD OFFICE

EVIDENCE INVENTORIED BY

(b)(6) (b)(7)(C)

DATE OF INVENTORY  
02/11/11

PAGE 1 OF 2 PAGES

SIGNATURE - SPECIAL AGENT

2/11/11  
DATE

REVIEWING SUPERVISOR

(b)(6) (b)(7)(C)

(b)(6) (b)(7)(C)

SIGNATURE - WITNESS

2/11/11  
DATE

SIGNATURE

2/11/11  
DATE

I certify the evidence described in the page(s) of this inventory, not otherwise disposed of per attached documentations, was verified for final retention at Forensic Services Division this date.

*[Handwritten Signature]*

SIGNATURE - FORENSIC SERVICES DIVISION

DATE

12-28-11

ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
			THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT AT 950 MASSACHUSETTS AVE, APT# 320, BOSTON, MA., ON 2/11/11. THESE ITEMS ARE MARKED "AS 2/11/11" IDENTIFYING SA (b)(6) (b)(7)(C) OF THE BOSTON FIELD OFFICE.	
1	02/11/11	1	METALLIC BLUE IPOD, LOCATED IN THE BEDROOM OF THE RESIDENCE.	
2	02/11/11	1	WHITE IPOD W/PLASTIC WHITE CARRYING CASE, LOCATED IN THE BEDROOM OF THE RESIDENCE.	\$50.00
3	02/11/11	1	WHITE IPOD, LOCATED IN THE BEDROOM OF THE RESIDENCE.	\$50.00
			SERIAL NUMBERS: 8A6330856UXEA	\$50.00
4	02/11/11	1	WHITE ITALK, LOCATED IN THE BEDROOM OF THE RESIDENCE.	
5	02/11/11	1	BLACK 16GB THUMBDRIVE, WHITE LABEL W/RED INK, READING "IL STATE BOARD OF ELECTIONS, NORMALIZED STATEWIDE 11-09," LOCATED IN THE BEDROOM OF THE RESIDENCE.	\$25.00
				\$10.00
TOTAL				\$185.00

UNITED STATES SECRET SERVICE

FINAL JAB

This form was electronically produced via OmniForm by USSS/ADMIN/MNO/PARS

SSF 1544 (03/06)

*Admire*

If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET CHAIN OF CUSTODY LOG	
IDENTIFIED INVENTORY OF EVIDENCE (Continuation Sheet)	
DATE OF INVENTORY 02/11/11	SERIAL NUMBER (FROM SSF 1544) 102 2011 CE 00000
OFFICE	CONTAINER NUMBER

**CERTIFIED INVENTORY OF EVIDENCE**  
(Continuation Sheet)

DATE OF INVENTORY  
02/11/12

OFFICE  
BOSTON FIELD OFFICE

SERIAL NUMBER (FROM SSF 1544)  
102 2011 CE 000035

PAGE 2 OF 2 PAGES

CASE NO  
102-773-0060071-3

[illegible]

# CERTIFIED INVENTORY OF EVIDENCE

SERIAL NUMBER  
102 2011 CZ 000035

EVIDENCE HELD AGAINST

☐ SPECIMEN

SWARTZ AARON

CASE NO  
102-775-0060071-S

OFFICE  
BOSTON FIELD OFFICE

EVIDENCE INVENTORIED BY

(b)(6) (b)(7)(C)

DATE OF INVENTORY

02/11/11

PAGE 1 OF 2 PAGES

SIGNATURE - SPECIAL AGENT

2/11/11

DATE

REVIEWING SUPERVISOR

(b)(6) (b)(7)(C)

(b)(6) (b)(7)(C)

SIGNATURE - WITNESS

2/11/11

DATE

SIGNATURE

2/11/11

DATE

I certify the evidence described in the page(s) of this inventory, not otherwise disposed of per attached documentations, was verified for final retention at Forensic Services Division this date.

SIGNATURE - FORENSIC SERVICES DIVISION DATE

ITEM NO.	DATE RECEIVED	QUANTITY	DESCRIPTION OF EVIDENCE	VALUE
			THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT AT 950 MASSACHUSETTS AVE, APT# 320, BOSTON, MA., ON 2/11/11. THESE ITEMS ARE MARKED "AB 2/11/11" IDENTIFYING SA (b)(6) (b)(7)(C) OF THE BOSTON FIELD OFFICE.	
1	02/11/11	1	METALLIC BLUE IPOD, LOCATED IN THE BEDROOM OF THE RESIDENCE.	\$50.00
2	02/11/11	1	WHITE IPOD W/PLASTIC WHITE CARRYING CASE, LOCATED IN THE BEDROOM OF THE RESIDENCE.	\$50.00
3	02/11/11	1	WHITE IPOD. LOCATED IN THE BEDROOM OF THE RESIDENCE.	\$50.00
			SERIAL NUMBERS: 8A6330856UX8A	
4	02/11/11	1	WHITE ITALK, LOCATED IN THE BEDROOM OF THE RESIDENCE.	\$25.00
5	02/11/11	1	BLACK 16GB THUMBDRIVE. WHITE LABEL W/RED INK, READING "IL STATE BOARD OF ELECTIONS, NORMALIZED STATEWIDE 11-09," LOCATED IN THE BEDROOM OF THE RESIDENCE.	\$10.00
			TOTAL	\$185.00

UNITED STATES SECRET SERVICE

FINAL JAB

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SSF 1544 (03/96)

*Casefile*

CHAIN OF CUSTODY LOG

If this inventory consists of more than one page, document the Chain of Custody Log on the reverse of the FINAL CONTINUATION SHEET

CONTINUED FROM CONTINUATION SHEET

DATE	TIME	LOCATION	OFFICER	SERIAL NUMBER (FROM SSF 154A)
12/11/02	10:00	OFFICE		102 2011 02

DATE OF INVENTORY 02/11/11		OFFICE BOSTON FIELD OFFICE	SERIAL NUMBER (FROM SSF 1544) 102 2011 CE 000035	PAGE 2 OF 2 PAGES	
ITEM NO	DATE	CASE NO			

OFFICE	102
BOSTON FIELD OFFICE	

SERIAL NUMBER (FROM SSF 1544)  
102 2011 CE 000035

PAGE 2 OF 2 PAGES

CASE NO.  
102-775-0060071-S

[illegible]

# CERTIFIED INVENTORY OF EVIDENCE

SERIAL NUMBER  
102 2011 CE 000081

EVIDENCE HELD AGAINST

☐ SPECIMEN

SWARTZ AARON

CASE NO.

102-775-0060071-9

OFFICE

BOSTON FIELD OFFICE

EVIDENCE INVENTORIED BY

(b)(6) (b)(7)(C)

DATE OF INVENTORY

02/11/11

PAGE

1

OF

2

PAGES

SIGNATURE - SPECIAL AGENT

2/11/11

DATE

REVIEWING SUPERVISOR

(b)(6) (b)(7)(C)

(b)(6) (b)(7)(C)

SIGNATURE - WITNESS

2-11-11

DATE

SIGNATURE

2/11/11  
DATE

I certify the evidence described in the page(s) of this inventory, not otherwise disposed of per attached documentations, was verified for final retention at Forensic Services Division this date.

SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO

DATE RECEIVED

QUANTITY

DESCRIPTION OF EVIDENCE

VALUE

1

02/11/11

16

THE BELOW LISTED ITEMS WERE SEIZED PURSUANT TO A FEDERAL SEARCH WARRANT ON 2/11/11 AT 950 MASSACHUSETTS AVE, APT #320, BOSTON, MA.

THESE ITEMS ARE MARKED "MP 2/11/11" FOR IDENTIFICATION PURPOSES. MP IDENTIFIED SA (b)(6) (b)(7)(C) BOSTON FIELD OFFICE.

SIXTEEN DEPARTMENT OF LABOR CD'S CONTAINED IN A YELLOW MAILING ENVELOPE.

\$16.00

TOTAL

\$16.00

UNITED STATES SECRET SERVICE

FINAL JAB

This form was electronically produced via OneForm by USSS/ADMIN/NOFARS

SSF 1544 (03/08)

*Admiral*





# CERTIFIED INVENTORY OF EVIDENCE

SERIAL NUMBER  
102 2011 CZ 000081

EVIDENCE HELD AGAINST

☐ SPECIMEN

CASE NO.

102-775-0060071-S

SWARTZ AARON

OFFICE

BOSTON FIELD OFFICE

EVIDENCE INVENTORIED BY

(b)(6) (b)(7)(C)

DATE OF INVENTORY

02/11/11

PAGE

1

OF

2

PAGES

SIGNATURE - SPECIAL AGENT

2/11/11

DATE

(b)(6) (b)(7)(C)

REVIEWING SUPERVISOR

(b)(6) (b)(7)(C)

SIGNATURE - WITNESS

2-11-11

DATE

SIGNATURE

2/11/11

DATE

I certify the evidence described in the page(s) of this inventory, not otherwise disposed of per attached documentations, was verified for final retention at Forensic Services Division this date.

SIGNATURE - FORENSIC SERVICES DIVISION

DATE

ITEM NO.

DATE RECEIVED

QUANTITY

DESCRIPTION OF EVIDENCE

VALUE

1

02/11/11

16

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THESE ITEMS ARE MARKED "MP 2/11/11" FOR IDENTIFICATION PURPOSES. MP IDENTIFIES SA (b)(6) (b)(7)(C) BOSTON FIELD OFFICE. SIXTEEN DEPARTMENT OF LABOR CD'S CONTAINED IN A YELLOW MAILING ENVELOPE.

\$16.00

TOTAL

\$16.00

UNITED STATES SECRET SERVICE

FINAL JAB

This form was electronically produced via OmniForm by USSS/ADMIN/NO/PAP

SSF 1544 (03/06)

*Casefiles*

59F 1544 (03-88)



U.S. Department of Homeland Security  
UNITED STATES SECRET SERVICE

Boston Field Office  
10 Causeway St., Suite 447  
Boston, MA 02222-1080  
Telephone: (617) 565-5640

File #: 102-775-60071-S

RECEIPT

On November 21, 2011 SA (b)(6) (b)(7)(C) Boston Field Office returned the below listed items to Martin Weinburg, Attorney for suspect Aaron Swartz.

<u>ITEM#:</u>	<u>SSF 1544 Evidence S/N:</u>	<u>Description</u>
1 ✓	102 2011 CE 31	Scientific Atlantic Modem with Power Cord
4 ✓	"	Black Notebook Journal
1-5 ✓	102 2011 CE 32	Statements, Mail In Rebate, Notebook Paper with black writing, and Master's Thesis M-876 Lind
1 ✓	102 2011 CE 33	Wireless Broadband Router Linksys
1-5 ✓	102 2011 CE 35	Ipods, Wireless ITalk, and Thumbdrive
1 ✓	102 2011 CE 36	(39) Misc CD's
3-5 ✓	102 2011 CE 37	Pure Drive Harddrive , Disc Utility Internal Harddrive Upgrade, and Seagate Sata Internal Harddrive
1 ✓	102 2011 CE 81	(16) Department of Labor CD's

SIGNATURE: \_\_\_\_\_

DATE: 11/21/11

2011 NOV 22 A 10:23



U.S. Department of Homeland Security  
**UNITED STATES SECRET SERVICE**

Boston Field Office  
10 Causeway St., Suite 447  
Boston, MA 02222-1080  
Telephone: (617) 565-5640

File: 102-775-80071-S

**RECEIPT**

I acknowledge receipt of the following items from the U.S. Secret Service, Boston, MA:  
One (1) Western Digital My Passport hard drive, serial #WXG1A8146179

SIGNATURE: \_\_\_\_\_

(b)(6) (b)(7)(C)

Print Name: \_\_\_\_\_

(b)(6) (b)(7)(C)

DATE: \_\_\_\_\_

12/20/11

RECEIVED FROM: \_\_\_\_\_

(b)(6) (b)(7)(C)

SA (b)(6) (b)(7)(C)

Boston Field Office

2011 DEC 20 P 12:03



U.S. Department of Homeland Security  
**UNITED STATES SECRET SERVICE**

Boston Field Office  
10 Causeway St., Suite 447  
Boston, MA 02222-1080  
Telephone (617) 565-5640

File #: 102-775-60071-S

**RECEIPT**

I acknowledge receipt of the following items from the U.S. Secret Service, Boston, MA:

One Toshiba Portable Hard Drive, Serial Number Y112P078TQQ6

SIGNATURE: [REDACTED] (b)(6) (b)(7)(C)  
PRINT NAME: [REDACTED] (b)(6) (b)(7)(C)  
DATE: 01/31/12  
RECEIVED FROM: [REDACTED] (b)(6) (b)(7)(C)  
SA (b)(6) (b)(7)(C) Boston Field Office

2012 FEB 29 12 12 PM

(b)(6) (b)(7)(C)

(BOS)

**From:**

**Sent:**

**To:**

**Subject:**

(b)(6) (b)(7)(C)

(BOS)

wednesday, November 23, 2011 1:12 PM

(b)(6) (b)(7)(C)

(BOS)

Swartz 102-775-60071 1544 102 2011 CE 38

Item #1 the Apple iMac Model A1311 with serial number W8025AXGD87 from 1544 inventory 102 2011 CE 38 in case 102-775-60071 was turned over to Detective (b)(6) (b)(7)(C) of the Harvard University Police Department today 11/23/11.

(b)(6) (b)(7)(C)

U.S. Secret Service

Boston Field Office

(b)(6) (b)(7)(C)

UNITED STATES GOVERNMENT  
m e m o r a n d u m

DATE: November 21, 2011 U. S. Secret Service  
REPLY TO  
ATTN OF: ISA (b)(6) (b)(7)(C) File: 102-775-60071-S  
SUBJECT: Disposition of Evidence - Aaron Swartz  
TO: ATSAIC (b)(6) (b)(7)(C)  
Info: FSD

Approval is requested for the disposition of evidence inventoried under the above file number as indicated below:

SSF 1544	DATE	ITEM	DESCRIPTION	EXCEPTION
1022011CE32	02/11/11	1-5	Misc Statements	A
1022011CE35	02/11/11	1-5	Ipods, Elect Items	A
1022011CE81	02/11/11	1	(16) CD's	A

// EXCEPTION X:

Local destruction is authorized for inventoried items noted above not to include those items followed by an exception, explained below. A statement of certification of Destruction should be attached on the reverse of SSF 1544, parts II and III. Part II should be forwarded to FSD.

// EXCEPTION A:

You are authorized to return these items to the victim bank or merchant, etc. The recipient shall acknowledge receipt by signing a statement of receipt and/or the U.S. Postal Service registered mail receipt will be attached to part II of the appropriate SSF 1544 and forwarded to FSD.

// EXCEPTION B:

You are authorized to retain this non-contraband item in the closed file for possible future investigative or forensic purposes.

// EXCEPTION C:

This item has been ordered by the court or lawful owner to be donated to a tax exempt organization. Obtain signed statement of receipt, attach to part II of appropriate SSF 1544, and forward to FSD. Forward copy of receipt to Financial Crimes Division for inclusion in the HQ case file.

// EXCEPTION D: (Property valued less than \$500)

This item has been declared abandoned, donated by lawful owner to the USSS, or has been ordered by the court to be used by the USSS. Authorization is hereby granted to retain this item for field office use. The automated Property Management System (PAMS) will be used to track accountable property placed into official use by this Service. You must submit a memorandum to the Property Management Branch thru the Administrative Operations Division, requesting a property number for property meeting the minimum dollar cost criteria (see Administrative Manual Volume I, Chapter 2, Sections 2.3.2 - 2.3.3). A copy of this memorandum and a copy of the SSF 1544 identifying the make, model, item description, serial number, and estimated cost must be attached to the memorandum submitted to the Property Management Branch. A copy of the package submitted to the Property Management Branch must be returned to the Financial Crimes Division for inclusion in the HQ case file.

// EXCEPTION E: (Property valued \$500 - \$1,000):

This item has been declared abandoned, donated by the lawful owner or forfeited to the service by the court. Having received no request from your office to place the property into official use, AOD concurs with this Division's authorization for local disposition. A statement of certification of destruction should be attached on the reverse of the SSF 1544, Part II and III. Part II should be forwarded to FSD. However, if the property is required for official use by your office, follow the procedures as outlined in Exception D, above.

// EXCEPTION F: (Property valued in excess of \$1,000):

This item has been declared abandoned, donated by the lawful owner or forfeited to the service by the court. Having received no request from your office to place the property into official use, SSF 1905, Report of Seized Property for Disposal, has been prepared by this division and forwarded to AOD. You will receive further instructions from AOD or GSA regarding disposition of this (these) item(s). However, if the property is required for office use by your office, follow the procedures as outlined in Exception D, above.

RIF



// EXCEPTION G: (Other)

(b)(6);(b)(7)(C)

Investigative Support Assistant

APPROVED:

(b)(6);(b)(7)(C)

ATSAIC

Boston F.O. - 1CC

FSD - 1CC

CID - 1CC

2128886

RECEIVED  
U.S. MARSHAL SERVICE  
BOSTON, MA

2011 JUL 14 P 3 7

## UNITED STATES DISTRICT COURT

for the  
District of MassachusettsUnited States of America  
v.

Aaron Swartz

Defendant

Case No.

11-cv-10260

2011

## ARREST WARRANT

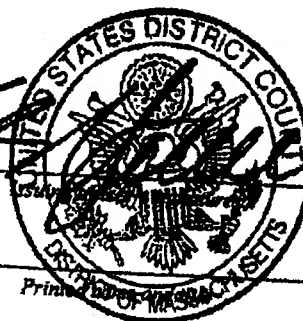
To: Any authorized law enforcement officer

**YOU ARE COMMANDED** to arrest and bring before a United States magistrate judge without unnecessary delay  
 (name of person to be arrested) Aaron Swartz  
 who is accused of an offense or violation based on the following document filed with the court:

- ☒ Indictment    ☐ Superseding Indictment    ☐ Information    ☐ Superseding Information    ☐ Complaint  
☐ Probation Violation Petition    ☐ Supervised Release Violation Petition    ☐ Violation Notice    ☐ Order of the Court

This offense is briefly described as follows:

18 U.S.C. 1343 (Wire Fraud); 18 U.S.C. 1030(a)(4) (Computer Fraud); 18 U.S.C. 1030 (a)(2) (Theft of Information From a Computer) and 18 U.S.C. 1030 (a)(5)(B) (Recklessly Damaging a Computer); 18 U.S.C. 2 (Aiding and Abetting)  
 All committed between September 24, 2010 and January 6, 2011, or thereabout

Date: July 14, 2011City and state: Boston, Massachusetts

## Return

This warrant was received on (date) \_\_\_\_\_, and the person was arrested on (date) \_\_\_\_\_  
 at (city and state) \_\_\_\_\_.

Date: \_\_\_\_\_

Arresting officer's signature

Printed name and title

RIF

CASREF, VICTIM

**United States District Court  
District of Massachusetts (Boston)  
CRIMINAL DOCKET FOR CASE #: 1:11-cr-10260-NMG-1**

Case title: USA v. Swartz

Date Filed: 07/14/2011

Assigned to: Judge Nathaniel M.  
Gorton

Referred to: Ch. Magistrate Judge  
Judith G. Dein

**Defendant (1)**

Aaron Swartz

represented by **Andrew Good**  
Good & Cormier  
3rd Floor  
83 Atlantic Ave.  
Boston, MA 02110  
617-523-5933  
Fax: 617-523-7554  
Email: agood@goodcormier.com  
**ATTORNEY TO BE NOTICED**  
*Designation: Retained*

**Pending Counts**

18:1343 & 2... WIRE FRAUD  
(1)

18:1030(a)(4) & 2... COMPUTER  
FRAUD  
(2)

18:1030(a)(2), (c)(2)(B)(iii) &  
2 ... UNLAWFULLY OBTAINING  
INFORMATION FROM A  
PROTECTED COMPUTER  
(3)

18:1030(a)(5)(B), (c)(4)(A)(i)(I)(VI) &  
2 ... RECKLESSLY DAMAGING A  
PROTECTED COMPUTER  
(4)

**Highest Offense Level (Opening)**

Felony

**Disposition**

**Terminated Counts**

None

**Disposition**

**Highest Offense Level (Terminated)**

None

**Complaints**

None

**Disposition**

**Plaintiff**

USA

represented by **Scott Garland**  
 United States Attorney's Office  
 John J. Moakley U.S. Courthouse  
 Suite 9200  
 Boston, MA 02210  
 617-748-3148  
 Fax: 617-748-3960  
 Email: scott.garland@usdoj.gov  
**LEAD ATTORNEY**  
**ATTORNEY TO BE NOTICED**

**Stephen P. Heymann**  
 United States Attorney's Office  
 John Joseph Moakley Federal  
 Courthouse  
 1 Courthouse Way  
 Suite 9200  
 Boston, MA 02210  
 617-748-3100  
 Email: Stephen.Heymann@usdoj.gov  
**ATTORNEY TO BE NOTICED**

Date Filed	#	Docket Text
07/14/2011	<u>1</u>	MOTION to Seal Case as to Aaron Swartz by USA. (Smith3, Dianne) (Entered: 07/14/2011)
07/14/2011		Magistrate Judge Timothy S. Hillman: ELECTRONIC ORDER entered granting <u>1</u> Motion to Seal Case as to Aaron Swartz (1) (Smith3, Dianne) (Entered: 07/14/2011)
07/14/2011	<u>2</u>	SEALED INDICTMENT as to Aaron Swartz (1) count(s) 1, 2, 3, 4. (Attachments: # <u>1</u> JS45)(Smith3, Dianne) (Entered: 07/14/2011)
07/14/2011	<u>3</u>	Arrest Warrant Issued by Magistrate Judge Timothy S. Hillman as to Aaron Swartz. (Smith3, Dianne) (Entered: 07/15/2011)

07/15/2011		ELECTRONIC NOTICE of Case Assignment as to Aaron Swartz; Judge Nathaniel M. Gorton assigned to case. If the trial Judge issues an Order of Reference of any matter in this case to a Magistrate Judge, the matter will be transmitted to Chief Magistrate Judge Judith G. Dein. (Rynne, Michelle) (Entered: 07/15/2011)
07/19/2011	<u>4</u>	MOTION to Unseal Case as to Aaron Swartz by USA. (Quinn, Thomas) (Entered: 07/19/2011)
07/19/2011		Ch. Magistrate Judge Judith G. Dein: ELECTRONIC ORDER entered granting <u>4</u> Motion to Unseal Case as to Aaron Swartz (1) (Quinn, Thomas) (Entered: 07/19/2011)
07/19/2011		Attorney update in case as to Aaron Swartz. Attorney Andrew Good added. (Quinn, Thomas) (Entered: 07/19/2011)
07/19/2011		Arrest of Aaron Swartz (Quinn, Thomas) (Entered: 07/19/2011)
07/19/2011		ELECTRONIC Clerk's Notes for proceedings held before Ch. Magistrate Judge Judith G. Dein: Initial Appearance as to Aaron Swartz held on 7/19/2011, Arraignment as to Aaron Swartz (1) Count 1,2,3,4 held on 7/19/2011, Plea entered by Aaron Swartz (1) Count 1,2,3,4. by Aaron Swartz Not Guilty on counts all. USMJ Dein informs the Dft. of his rights and charges; Dft. has retained counsel; Govt. states maximum penalties; Dft. is released on bond with conditions. 1st conference is set for 9/9/11 @ 10:00am (Attorneys present: Heyman and Good. ) Court Reporter Name and Contact or digital recording information: Digital Recording. (Quinn, Thomas) (Entered: 07/19/2011)
07/19/2011	<u>5</u>	Appearance and Compliance Bond Entered as to Aaron Swartz in amount of \$ 100,00.00, (Quinn, Thomas) (Entered: 07/19/2011)
07/19/2011	<u>6</u>	Ch. Magistrate Judge Judith G. Dein: ORDER entered. ORDER Setting Conditions of Release as to Aaron Swartz. (Quinn, Thomas) (Entered: 07/19/2011)
07/19/2011	<u>7</u>	Ch. Magistrate Judge Judith G. Dein: ORDER entered. SCHEDULING ORDER as to Aaron Swartz Status Conference set for 9/9/2011 10:00 AM in Courtroom 15 before Ch. Magistrate Judge Judith G. Dein. (Quinn, Thomas) (Entered: 07/19/2011)
07/19/2011	<u>8</u>	Ch. Magistrate Judge Judith G. Dein: ORDER entered. ORDER ON EXCLUDABLE DELAY as to Aaron Swartz. Time excluded from 7/19/11 until 8/16/11. Reason for entry of order on excludable delay: 18 USC 3161(h) (7)(A) Interests of justice. (Quinn, Thomas) (Entered: 07/19/2011)
07/20/2011	<u>9</u>	CORPORATE DISCLOSURE STATEMENT as to Aaron Swartz (Heymann, Stephen) (Entered: 07/20/2011)
07/20/2011	<u>10</u>	NOTICE OF ATTORNEY APPEARANCE Scott Garland appearing for USA. (Garland, Scott) (Entered: 07/20/2011)
07/21/2011	<u>11</u>	Assented to MOTION Unseal Warrants and Applications, MOTION to Unseal Document ( Responses due by 8/4/2011) as to Aaron Swartz by USA. (Heymann, Stephen) (Entered: 07/21/2011)

07/21/2011	<u>12</u>	Motion for Victim Rights in case as to Aaron Swartz( Responses due by 8/4/2011), MOTION For Alternative Victim Notification as to Aaron Swartz by USA. (Heymann, Stephen) (Entered: 07/21/2011)
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PACER Service Center			
Transaction Receipt			
08/01/2011 11:09:04			
PACER Login:	ux4041	Client Code:	
Description:	Docket Report	Search Criteria:	1:11-cr-10260-NMG
Billable Pages:	3	Cost:	0.24

**FORFEITURE ALLEGATIONS**

**(18 U.S.C. § 981(a)(1)(C), 28 U.S.C. § 2461(c), and 18 U.S.C. § 982(a)(2)(B))**

38. Upon conviction of the offense alleged in Count One of the Indictment, the defendant,

**AARON SWARTZ,**

shall forfeit to the United States, pursuant to 18 U.S.C. § 981(a)(1)(C) and 28 U.S.C. § 2461(c), any property, real or personal, that constitutes, or is derived from, proceeds traceable to the commission of the offense.

39. Upon conviction of one or more of the offenses alleged in Counts Two through Four of the Indictment, the defendant,

**AARON SWARTZ,**

shall forfeit to the United States, pursuant to 18 U.S.C. § 982(a)(2)(B) any property constituting, or derived from, proceeds obtained directly or indirectly as a result of the commission of the offenses.

40. If any of the property described in paragraphs 38 and 39 hereof as being forfeitable pursuant to 18 U.S.C. § 981(a)(1)(C), 28 U.S.C. § 2461(c), and 18 U.S.C. § 982(a)(2)(B) as a result of any act or omission of the defendant --

- a. cannot be located upon the exercise of due diligence;
- b. has been transferred to, sold to, or deposited with a third party;
- c. has been placed beyond the jurisdiction of this Court;
- d. has been substantially diminished in value; or
- e. has been commingled with other property which cannot be divided without difficulty;

it is the intention of the United States, pursuant to 21 U.S.C. § 853(p), as incorporated by 28 U.S.C. § 2461(c), to seek forfeiture of all other property of the defendant up to the value of the property described in paragraphs 38 and 39 above.

All pursuant to Title 18, United States Code, Sections 981(a)(1)(C) and 982(a)(2)(B), and Title 28, United States Code, Section 2461(c).

A TRUE BILL

David R. Thompson  
Foreperson of the Grand Jury

[Signature]  
Assistant United States Attorney

Date: 7-14-11

DISTRICT OF MASSACHUSETTS

July 14, 2011

Returned into the District Court by the Grand Jurors and filed.

[Signature]  
Deputy Clerk  
2:00p



US 45 (5/97) - (Revised U.S.D.C. MA 3/21/01)

**Criminal Case Cover Sheet**

**U.S. District Court - District of Massachusetts**

Place of Offense: \_\_\_\_\_ Category No. 11 Investigating Agency Secret Service

City Cambridge

**Related Case Information:**

County Middlesex

Superseding Ind./ Inf. \_\_\_\_\_ Case No. \_\_\_\_\_  
 Same Defendant \_\_\_\_\_ New Defendant \_\_\_\_\_  
 Magistrate Judge Case Number \_\_\_\_\_  
 Search Warrant Case Number \_\_\_\_\_ See Additional Information Below  
 R 20/R 40 from District of \_\_\_\_\_

**Defendant Information:**

Defendant Name Aaron Swartz Juvenile: ☐ Yes ☒ No

Is this person an attorney and/or a member of any state/federal bar: ☐ Yes ☒ No

Alias Name \_\_\_\_\_

Address (City & State) Cambridge, MA

Birth date (Yr only): 86 SSN (last 4#): 1374 Sex M Race: W Nationality: USA

Defense Counsel if known: Andrew Good Address Good & Courmier

Bar Number \_\_\_\_\_ 83 Atlantic Ave.

U.S. Attorney Information: Boston, MA 02110

AUSA Stephen Heymann Bar Number if applicable 558486

Interpreter: ☐ Yes ☒ No List language and/or dialect: \_\_\_\_\_

Victims: ☒ Yes ☐ No If yes, are there multiple crime victims under 18 USC§3771(d)(2) ☒ Yes ☐ No

Matter to be SEALED: ☒ Yes ☐ No

☒ Warrant Requested ☐ Regular Process ☐ In Custody

**Location Status:**

Arrest Date \_\_\_\_\_

☐ Already in Federal Custody as of \_\_\_\_\_ in \_\_\_\_\_

☐ Already in State Custody at \_\_\_\_\_ ☐ Serving Sentence ☐ Awaiting Trial

☐ On Pretrial Release: Ordered by: \_\_\_\_\_ on \_\_\_\_\_

Charging Document: ☐ Complaint ☐ Information ☒ Indictment

Total # of Counts: ☐ Petty ☐ Misdemeanor ☒ Felony 4

Continue on Page 2 for Entry of U.S.C. Citations

☒ I hereby certify that the case numbers of any prior proceedings before a Magistrate Judge are accurately set forth above.

Date: July 14, 2011

Signature of AUSA: \_\_\_\_\_

**RIF**

District Court Case Number (To be filled in by deputy clerk): \_\_\_\_\_

Name of Defendant Aaron Swartz

U.S.C. Citations

	<u>Index Key/Codes</u>	<u>Description of Offense Charged</u>	<u>Count Numbers</u>
Set 1	<u>18 USC 1343</u>	<u>Wire Fraud</u>	<u>1</u>
Set 2	<u>18 USC 1030(a)(4)</u>	<u>Computer Fraud</u>	<u>2</u>
Set 3	<u>18 USC 1030(a)(2)</u>	<u>Theft of Information From a Computer</u>	<u>3</u>
Set 4	<u>18 USC 1030(a)(5)(B)</u>	<u>Recklessly Damaging a Computer</u>	<u>4</u>
Set 5	<u>18 USC 981 &amp; 982 and 28 USC 2461</u>	<u>Forfeiture</u>	
Set 6	<u>18 USC 2</u>	<u>Aiding and Abetting</u>	<u>Counts 1-4</u>
Set 7	_____	_____	_____
Set 8	_____	_____	_____
Set 9	_____	_____	_____
Set 10	_____	_____	_____
Set 11	_____	_____	_____
Set 12	_____	_____	_____
Set 13	_____	_____	_____
Set 14	_____	_____	_____
Set 15	_____	_____	_____

ADDITIONAL INFORMATION: Search Warrant Case Numbers: 11m-5013-JGD; 11m-5014-JGD  
11m-5015-JGD; 11m-5031-JGD; 11m-5061-JGD; 11m-5062-JGD; 11m-5063-JGD; and  
11m-5143-JGD

Seizure Warrant Case Number: 11m-5138-JGD

AO 442 (Rev. 01/09) Arrest Warrant

# UNITED STATES DISTRICT COURT

for the  
District of Massachusetts

United States of America  
v.

Aaron Swartz

*Defendant*

Case No. 11-cr-10260

## ARREST WARRANT

To: Any authorized law enforcement officer

**YOU ARE COMMANDED** to arrest and bring before a United States magistrate judge without unnecessary delay  
(name of person to be arrested) Aaron Swartz  
who is accused of an offense or violation based on the following document filed with the court:

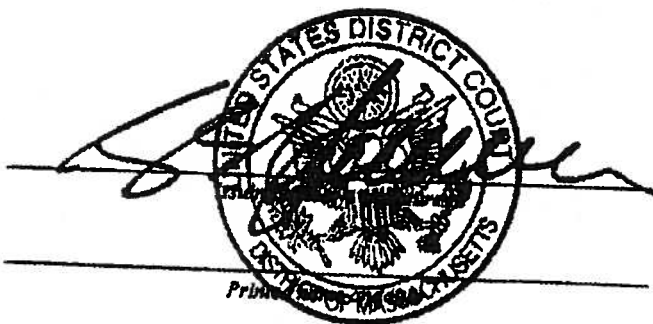
- ☒ Indictment    ☐ Superseding Indictment    ☐ Information    ☐ Superseding Information    ☐ Complaint  
☐ Probation Violation Petition    ☐ Supervised Release Violation Petition    ☐ Violation Notice    ☐ Order of the Court

This offense is briefly described as follows:

18 U.S.C. 1343 (Wire Fraud); 18 U.S.C. 1030(a)(4) (Computer Fraud); 18 U.S.C. 1030 (a)(2) (Theft of Information From a Computer) and 18 U.S.C. 1030 (a)(5)(B) (Recklessly Damaging a Computer); 18 U.S.C. 2 (Aiding and Abetting)  
All committed between September 24, 2010 and January 6, 2011, or thereabout

Date: July 14, 2011

City and state: Boston, Massachusetts



### Return

This warrant was received on (date) \_\_\_\_\_, and the person was arrested on (date) \_\_\_\_\_  
at (city and state) \_\_\_\_\_.

Date: \_\_\_\_\_

\_\_\_\_\_  
Arresting officer's signature

\_\_\_\_\_  
Printed name and title

**RIF**

(b)(5) (b)(7)(C)

(BOS)

**From:**

**Sent:**

**To:**

**Cc:**

**Subject:**

(b)(5) (b)(7)(C)

@cambridgepolice.org]

Friday, February 25, 2011 12:49 PM

Heymann, Stephen (USAMA) (Stephen.Heymann@usdoj.gov)

(b)(5) (b)(7)(C) (BOS)

Search Warrant Return

Steve and (b)(5) (b)(7)(C)

Please review the following language for the SW returns. If it is agreeable to you both I was intending on handwriting this onto each warrant.

Case No: **11M-5062-JED**

Date and Time Warrant Executed: **February 25, 2011 9:00am EST**

Copy of Warrant and Inventory Left With: **Property Technician** (b)(5) (b)(7)(C)

Inventory Made In The Presence of: **Property Technician** (b)(5) (b)(7)(C)

(b)(5) (b)(7)(C)

and Deputy Superintendent

(b)(5) (b)(7)(C)

Inventory of the Property Taken:

**HP USB Drive, marked 0045SMKBT1 85102**

**2.0 Terabyte Western Digital HD Serial Number WMAZA1626675**

**Acer Aspire One Laptop Computer Serial Number LUSAX0D001001100E1601**

Of course the individual item will be on its specific warrant with the info about execution.

(b)(5) (b)(7)(C)

(b)(6) (b)(7)(C)

(b)(6) (b)(7)(C) said that she also spoke with Swartz after the search of his residence. (b)(6) (b)(7)(C) said that Swartz told her that agents came into his house and took part of his book. (b)(6) (b)(7)(C) said that Swartz also said that agents came into the Safra Center and took his controller for Rock Band. (b)(6) (b)(7)(C) said that Swartz told her that the agents were frustrated and that they did not find what they were looking for. (b)(6) (b)(7)(C) said that Swartz told her that the agents took his phones.

(b)(6) (b)(7)(C)

(b)(6) (b)(7)(C)

(b)(6) (b)(7)(C) said that Swartz started a Google Group called Guerilla Open Access.

UNITED STATES GOVERNMENT  
Memorandum of interview

U.S. Secret Service

Case # 102-775-60071-S

DATE AND TIME May 12, 2011 4:00pm  
LOCATION (b)(6) (b)(7)(C)  
SUBJECT INTERVIEWED (b)(6) (b)(7)(C)  
IN ATTENDANCE SA (b)(6) (b)(7)(C) (BOS)  
Detective (b)(6) (b)(7)(C), Cambridge Police

On May 12, 2011, (b)(6) (b)(7)(C) was interviewed at the offices of the (b)(6) (b)(7)(C) in Boston Massachusetts. This interview was in reference to the Boston Field Office case number 102-775-60071-S. The interview was conducted by Special Agent (b)(6) (b)(7)(C) and me, Cambridge Police Detective (b)(6) (b)(7)(C). The following is a synopsis of his statements:

(b)(6) (b)(7)(C) stated that he has been a friend of Aaron Swartz for several years. (b)(6) (b)(7)(C) person, by telephone and via electronic mail. (b)(6) (b)(7)(C) uses the email address (b)(6) (b)(7)(C) @gmail.com and Swartz uses the email address me@aaronsw.com for these communications. These email communications using the above addresses date back 4 to 5 years.

(b)(6) (b)(7)(C) last saw Swartz in passing the previous weekend either on Saturday or Sunday. (b)(6) (b)(7)(C) way to breakfast. (b)(6) (b)(7)(C) Swartz was on his (b)(6) (b)(7)(C)

(b)(6) (b)(7)(C) stated that after he read the Guerilla Manifesto he became interested in the idea of it and (b)(6) (b)(7)(C) (b)(6) (b)(7)(C) stated that he believed Aaron Swartz wrote the manifesto but could not remember if he ever had a conversation with Swartz confirming that Swartz wrote the manifesto. (b)(6) (b)(7)(C) stated that, "They believe that the open access movement is a human rights issue."

(b)(6) (b)(7)(C) stated that (b)(6) (b)(7)(C) is probably the closest person professionally and personally to Swartz and at times acts as his mentor. (b)(6) (b)(7)(C) has worked on projects in the past with (b)(6) (b)(7)(C)

(b)(6) (b)(7)(C)

The interview was completed at approximately 5:00pm.

Respectfully Submitted,

(b)(6) (b)(7)(C)

**SOFTWARE TOOLS**

Smartcard Commander - Embedded Device Forensics  
CelleBrite - Cell Phone Forensics  
FTK - Forensic Tool Kit  
Encase - Encase

COMMENTS: NO SOFTWARE COMMENTS PROVIDED

**HARDWARE TOOLS**

UFED (CelleBrite) - Cell Phone Forensics  
SIM Card Reader - Embedded Device Forensics  
Ultra Toolkit - All Writeblock Devices in the Ultra Toolkit

COMMENTS: NO HARDWARE COMMENTS PROVIDED

**CASE COMPUTERS****COMPUTER DETAIL:**

MODEL: Acer Aspire

SERIAL NO: LUSAX0D0010011001E1601

START DATE: 02/25/2011

PROCESSED BY: SA (b)(6) (b)(7)(C)

ACQUIRED BY: SA (b)(6) (b)(7)(C)

ACQUIRED DT: 02/25/2011

END DATE: 05/20/2011

**HARD DRIVE(S) DETAILS:****MODEL**

Hitachi HTS545016B9A3

**SERIAL NUMBER**

091209PB5B06QcE

**SIZE**

160 00 G

HD COMMENTS:

**COMPUTER DETAIL:**

MODEL: Apple iMac A1311

SERIAL NO: W8025AXGD87

START DATE: 02/11/2011

PROCESSED BY: SA (b)(6) (b)(7)(C)

ACQUIRED BY: SA (b)(6) (b)(7)(C)

ACQUIRED DT: 02/11/2011

END DATE: 05/20/2011

**HARD DRIVE(S) DETAILS:****MODEL**

Imaged by TDM

**SERIAL NUMBER**

Imaged by TDM

**SIZE**

1 00 T

HD COMMENTS:

**EMBEDDED TECHNOLOGY**

(b)(6) (b)(7)(C)

Office: BOSTON FIELD OFFICE Agent Phone

(b)(6) (b)(7)(C)

Approved by CID on 07/27/2011

CASE NUMBER: 102-866-0080071

TOTAL MEDIA PROCESSED: 9 30 TB

**EMBEDDED TECHNOLOGY**

MODEL: Nokia 2320

ACQUIRED BY: SA (b)(6) (b)(7)(C)

SERIAL NO: 012185001723274

ACQUIRED DT: 02/14/2011

START DATE: 02/14/2011

END DATE: 05/20/2011

PROCESSED BY: SA (b)(6) (b)(7)(C)

**STORAGE DETAILS:**

DESCRIPTION	SERIAL NUMBER	SIZE
Internal Memory	Internal Memory	32.00 M

HD COMMENTS:

**EMBEDDED TECHNOLOGY**

MODEL: HTC G2

ACQUIRED BY: SA (b)(6) (b)(7)(C)

SERIAL NO: 359116031982626

ACQUIRED DT: 02/16/2011

START DATE: 02/16/2011

END DATE: 05/20/2011

PROCESSED BY: SA (b)(6) (b)(7)(C)

**STORAGE DETAILS:**

DESCRIPTION	SERIAL NUMBER	SIZE
Internal Memory	Internal Memory	4 00 G

HD COMMENTS:

**LOOSE DRIVES**

(b)(6) (b)(7)(C)

Office: BOSTON FIELD OFFICE Agent Phone:

(b)(6) (b)(7)(C)

Approved by CID on 07/27/2011



CASE NUMBER: 102-866-0060071

TOTAL MEDIA PROCESSED: 9.30 TB

MODEL:WD20EARS

SERIAL NUMBER:WD-WMAZA1626875

SIZE:2.00 T

ACQUIRED BY:SA (b)(6) (b)(7)(C)

PROCESSED BY:SA

ACQUIRED DATE: 02/28/2011

EXAM START:02/28/2011

EXAM END: 05/20/2011

COMMENTS:None specified

MODEL:Western Digital WD1200JS

SERIAL NUMBER:WD-WMANN1006724

SIZE:120.00 G

ACQUIRED BY:SA (b)(6) (b)(7)(C)

PROCESSED BY:SA

ACQUIRED DATE: 02/11/2011

EXAM START:02/11/2011

EXAM END: 05/20/2011

COMMENTS:None specified

MODEL:Samsung HD154Ui

SERIAL NUMBER:S1Y6J1CZ800326

SIZE:1.50 T

ACQUIRED BY:SA (b)(6) (b)(7)(C)

PROCESSED BY:SA

ACQUIRED DATE: 06/25/2011

EXAM START:06/27/2011

EXAM END: 07/07/2011

COMMENTS:None specified

MODEL:Samsung HD154Ui

SERIAL NUMBER:S1Y6J1CZ800329

SIZE:1.50 T

ACQUIRED BY:SA (b)(6) (b)(7)(C)

PROCESSED BY:SA

ACQUIRED DATE: 06/27/2011

EXAM START:06/27/2011

EXAM END: 07/07/2011

COMMENTS:None specified

(b)(6) (b)(7)(C)

Office: BOSTON FIELD OFFICE Agent Phone

(b)(6) (b)(7)(C)

Approved by CID on 07/27/2011

CASE NUMBER: 102-866-0060071

TOTAL MEDIA PROCESSED: 9 30 TB

MODEL: Samsung HD154UI

SERIAL NUMBER: S1Y6J1CZ800331

SIZE: 1.50 T

ACQUIRED BY: SA (b)(6) (b)(7)(C)

PROCESSED BY: SA

ACQUIRED DATE: 06/23/2011

EXAM START: 06/23/2011

EXAM END: 07/07/2011

COMMENTS: None specified

MODEL: Samsung HD154UI

SERIAL NUMBER: S1Y6J1CZ800332

SIZE: 1.50 T

ACQUIRED BY: SA (b)(6) (b)(7)(C)

PROCESSED BY: SA

ACQUIRED DATE: 06/22/2011

EXAM START: 06/22/2011

EXAM END: 07/07/2011

COMMENTS: None specified

CASE MEDIA

CATEGORY  
Sim Card (Cell Phones) - Cell Phones  
Secure Digital Card  
USB Thumb Drives

QTY	NUM	SIZE
2	64.0	KB
1	3.0	GB
2	3.0	GB

CASE CREDIT

HARD DRIVE CREDIT:	8
MEDIA CREDIT:	3
E-TECH CREDIT:	2
TOTAL CREDIT:	13

EXAM RESULTS

EVIDENCE FOUND: YES

AUTHORITY: Warrant

COMMENTS: NO COMMENTS PROVIDED

(b)(6) (b)(7)(C)

Office. BOSTON FIELD OFFICE Agent Phone

(b)(6) (b)(7)(C)

Approved by CID on 07/27/2011

# Inspection Division

## Criminal Investigations Case Review Worksheet – Section 8

J-Case: OPEN: ✓ CLOSED:        ICR:        (Appropriate Use: Yes No)

File Number 102-775-60071-5

(b)(6);(b)(7)(C)

Case Title Aaron Swartz

Case Agent       

Date Assigned 1/4/11

1<sup>st</sup> Report Due 4/4/11

Secondary Case Type YES ✓ NO       

Amt of Loss \$       

	(Tickler Date)	(Date Submitted)	On Time	Days Late
1st Report	<u>4/4/11</u>	<u>1/24/11</u>	<u>On Time</u>	<u>      </u>
2nd Report	<u>4/21/11</u>	<u>2/28/11</u>	<u>On Time</u>	<u>      </u>
3rd Report	<u>6/29/11</u>	<u>6/29/11</u>	<u>On Time</u>	<u>      </u>
4th Report	<u>9/27/11</u>	<u>8/11/11 (NDEF)</u>	<u>On Time</u>	<u>      </u>
5th Report	<u>11/29/11</u>	<u>11/29/11</u>	<u>On Time</u>	<u>      </u>
6th Report	<u>2/27/12</u>	<u>2/27/12</u>	<u>On Time</u>	<u>      </u>
7th Report	<u>5/28/12</u>	<u>      </u>	<u>On Time</u>	<u>      </u>
8th Report	<u>      </u>	<u>      </u>	<u>On Time</u>	<u>      </u>
Report	<u>      </u>	<u>      </u>	<u>On Time</u>	<u>      </u>
Report	<u>      </u>	<u>      </u>	<u>On Time</u>	<u>      </u>

Total M/Rs        Total M/Rs Late        Total Days Late       

All Leads Explored: YES        NO        Reports: Accurate Clear Detailed Complex Community Impact AF

Date of Arrest 7.19.11 Date of Official Message 8.1.11 On Time        Days Late        F ✓ S       

Date of Arrest        Date of Official Message        On Time        Days Late        F        S       

Date of Arrest        Date of Official Message        On Time        Days Late        F        S       

Date of Arrest        Date of Official Message        On Time        Days Late        F        S       

Date of Arrest        Date of Official Message        On Time        Days Late        F        S       

Total Arrest Messages        Total Arrest Messages Late        Total Days Late       

Date of Plant Suppression        Date of Official Message        On Time        Days Late       

Date of Plant Suppression        Date of Official Message        On Time        Days Late       

Date of Plant Suppression        Date of Official Message        On Time        Days Late       

Total Plant Sup Messages        Total Plant Sup Messages Late        Total Days Late

**Criminal Investigations Case Review Worksheet - Section 8**  
**Page 2**

Date of Intercept: _____	Date of Official Message: _____	On Time _____	Days Late _____	T _____	V _____
Date of Intercept: _____	Date of Official Message: _____	On Time _____	Days Late _____	T _____	V _____
Date of Intercept: _____	Date of Official Message: _____	On Time _____	Days Late _____	T _____	V _____
Date of Intercept: _____	Date of Official Message: _____	On Time _____	Days Late _____	T _____	V _____
Total Intercept Messages: _____		Total Intercept Messages Late _____	Total Days Late _____	T _____	V _____

**AUSA**

Prosecution Federal \_\_\_\_\_ State \_\_\_\_\_ Juvenile \_\_\_\_\_ NA \_\_\_\_\_

Date of AUSA Declination \_\_\_\_\_ Letter in File: Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_ (Required for State Prosecution)

Blanket Letter Yes \_\_\_\_\_ No \_\_\_\_\_ OR In Report \_\_\_\_\_ (Required for State Prosecution)

Date of AUSA Currency Retention Letter: \_\_\_\_\_ Letter in File: Yes \_\_\_\_\_ No \_\_\_\_\_ N/A \_\_\_\_\_

**SUSPECTS / DEFENDANTS**

SSF 1599 ☒ Photographs \_\_\_\_\_ Fingerprints \_\_\_\_\_ Palm prints \_\_\_\_\_ FBI R-84 \_\_\_\_\_ Subject Statements \_\_\_\_\_

CIC Criminal History \_\_\_\_\_ State Records \_\_\_\_\_ ISD Data Searches \_\_\_\_\_ FSD Exam \_\_\_\_\_

Institutional Rights: Verbal \_\_\_\_\_ Written \_\_\_\_\_ Waived \_\_\_\_\_ Consent to Search: Verbal \_\_\_\_\_ Written \_\_\_\_\_

\_\_\_\_\_dants/Suspects listed in subsequent reports: YES \_\_\_\_\_ NO \_\_\_\_\_

Laron Swartz

(b)(6) (b)(7)(C)

**EVIDENCE / PERSONAL PROPERTY**

SSF 1544 ☒ SSF 3051 \_\_\_\_\_

Position of Evidence YES \_\_\_\_\_ NO \_\_\_\_\_

Certificate of Destruction YES \_\_\_\_\_ NO \_\_\_\_\_

**J-CASE REQUIREMENTS**

J-Case Requirements Complete YES \_\_\_\_\_ NO \_\_\_\_\_

SSF 1599A \_\_\_\_\_ Case Report \_\_\_\_\_ Raid Plan \_\_\_\_\_

Investigative Notes in File YES \_\_\_\_\_ NO \_\_\_\_\_

CLASS OF: CI \_\_\_\_\_ Confidential Fund \_\_\_\_\_ UC \_\_\_\_\_ Surveillance \_\_\_\_\_ Polygraph \_\_\_\_\_ ECSAP \_\_\_\_\_

Content and Quality of Reports \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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**BOS**

**From:** BOS  
**Sent:** Wednesday, June 29, 2011 9:40 AM  
**To:** CID  
**Cc:** ISD; BOS  
**Subject:** CT 775.510 Aaron Swartz (102-775-60071-S)

*V. Hill*  
*MD*

**U.S. SECRET SERVICE INVESTIGATIVE REPORT**

**FROM:** BOSTON FIELD OFFICE  
**TO:** CRIMINAL INVESTIGATIVE DIVISION  
**INFO:** INVESTIGATIVE SUPPORT DIVISION

**FILE:** 102-775-60071-S  
**X-REF:** N/A  
**SEIZURE#:** N/A

**SUBJECT:** REPORT OF CONTINUING INVESTIGATION

**ACTUAL LOSS:** \$TBD

**POTENTIAL LOSS:** \$2,000,000.00

**CASE TITLE:** AARON SWARTZ  
**CASE TYPE:** 775.510  
**SECONDARY TYPES:** 848.191, 848.304, 848.930  
**CONTROLLING OFFICE:** BOSTON FIELD OFFICE  
**REPORT MADE BY:** SA (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C)  
**DATE CASE OPENED:** 01/07/11  
**PREVIOUS REPORT:** 02/28/11  
**REPORTING PERIOD:** 02/29/11 - 06/29/11  
**STATUS:** CONTINUED

**FILE COPY**

2011

**SYNOPSIS:**

Investigation has determined Aaron Swartz intruded into the MIT network without authorization by breaking into a locked telecommunications closet containing hardware for the MIT network, connecting a computer to the MIT network and downloading documents from JSTOR.

Case continued in Boston.

**DETAILS OF INVESTIGATION:**

Reference is made to all previous reports in this case, the most recent of which is a Request for Investigation Other District (IOD) written by SA (b)(6),(b)(7)(C) on 02/28/11.

Reference is made to the Report of Investigation Other District written by SA (b)(6),(b)(7)(C) of the San Francisco Field Office on 06/23/11.

Reference is made to the conference call between SA (b)(6),(b)(7)(C), AUSA Stephen Heymann, SA (b)(6),(b)(7)(C) and (b)(6),(b)(7)(C) from the Computer Emergency Response Team Coordination Center at Carnegie Mellon University on 03/09/11.

Reference is made to the conference call between SA (b)(6),(b)(7)(C), AUSA Heymann, Detective (b)(6),(b)(7)(C) of the Cambridge Police, and (b)(6),(b)(7)(C) of MIT on 06/20/11.

Reference is made to the conference call between SA (b)(6),(b)(7)(C), AUSA Heymann, and (b)(6),(b)(7)(C) from JSTOR on 06/25/11.

On 03/09/11, SA (b)(6),(b)(7)(C) and SA (b)(6),(b)(7)(C) of the San Francisco Field Office interviewed (b)(6),(b)(7)(C) at (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C). The details of the interview are described in a Memorandum of Interview written by SA (b)(6),(b)(7)(C). A copy of that MOI will be maintained in this case folder.

advised that she didn't have any contact, but did hear that [redacted] due to his arrest, he was no longer allowed on the MIT campus. Due to this restriction, [redacted] advised that she heard Swartz was upset because he would not be permitted to participate in an annual campus wide scavenger hunt, of which he participates in every year. [redacted] was asked if Swartz ever mentioned JSTOR records to her, and [redacted] advised that she has never heard Schwarz discuss JSTOR records. Please see the Memorandum of Interview dated 3/9/11 for additional details.

On 6/7/11, I contacted SA [redacted] regarding the interview of [redacted] SA [redacted] advised he was preparing to indict Aaron Swartz and will consult with AUSA Heymann to determine if an interview with [redacted] is necessary.

On 6/10/11, I was contacted by SA [redacted] who advised that after a discussion with AUSA Heymann the interview of [redacted] would not be necessary.

Case closed in San Francisco.

#### JUDICIAL ACTION:

No Judicial Action is being sought in the Northern District of California at this time.

#### SUSPECTS/DEFENDANTS:

SWARTZ, Aaron H - SUSPECT

1599: Yes  
1599A: No

[redacted] (b)(6),(b)(7)(C) - SUBJECT

AKA: [redacted]  
RACE: [redacted]  
SEX: [redacted]  
DOB: [redacted]  
SSN: [redacted]  
FBI: [redacted]  
SID: [redacted]  
HT: [redacted]  
WT: [redacted]  
EYES: [redacted]  
HAIR: [redacted]  
1599: No  
1599A: No  
PHOTO: No  
PRINTS: No  
POB: [redacted]

DL/STATE:

ADDRESS:

EMAIL:

DATABASE CHECKS: 02/24/11

[redacted] (b)(6),(b)(7)(C) - SUBJECT

AKA: N/A  
RACE: [redacted]  
SEX: [redacted]  
DOB: [redacted]  
SSN: [redacted]  
FBI: N/A  
SID: N/A  
HT: N/A  
WT: N/A  
EYES: [redacted]  
HAIR: [redacted]  
1599: No

**BOS**

**From:** BOS  
**To:** CID  
**Cc:** ISD; SFO; BOS  
**Subject:** 775.510 Request for Investigation Other District - Aaron Swartz (102-775-60071-S)  
**Attachments:**

Sent: Mon 2/28/2011 3:37 PM

## U.S. SECRET SERVICE INVESTIGATIVE REPORT

**FROM:** BOSTON FIELD OFFICE  
**TO:** CRIMINAL INVESTIGATIVE DIVISION  
 SAN FRANCISCO FIELD OFFICE  
**INFO:** INVESTIGATIVE SUPPORT DIVISION

**FILE:** 102-775-60071-S  
**X-REF:** N/A  
**SEIZURE#:** N/A

**SUBJECT:** REQUEST FOR INVESTIGATION OTHER DISTRICT

FILE COPY

ACTUAL LOSS: \$ TBD

POTENTIAL LOSS: \$ 2,000,000.00

**CASE TITLE:** AARON SWARTZ  
**CASE TYPE:** 775.510  
**SECONDARY TYPES:** 848.191, 848.304, 848.930  
**CONTROLLING OFFICE:** BOSTON FIELD OFFICE  
**REPORT MADE BY:** SA (b)(6),(b)(7)(C) (b)(6),(b)(7)(C)  
**DATE CASE OPENED:** 01/07/11  
**PREVIOUS REPORT:** 01/21/11 - OPENING REPORT  
**REPORTING PERIOD:** 01/22/11 - 02/28/11  
**STATUS:** CONTINUED

## SYNOPSIS:

Investigation has determined Aaron Swartz intruded into the MIT network without authorization by making entry into a locked closet containing networking components for MIT networks, connecting a computer to the MIT network, and downloading documents from JSTOR. Swartz was arrested by MIT Police and agents of the New England Electronic Crimes Task Force and charged with violation of Massachusetts General Law (MGL) for breaking and entering.

Agents and Detectives of the New England Electronic Task Force subsequently executed search warrants at Swartz's residence and office.

The San Francisco Field Office is requested to interview (b)(6),(b)(7)(C) and (b)(6),(b)(7)(C) two known associates of Swartz, to determine their knowledge of his activities.

Case continued in Boston.

## DETAILS OF INVESTIGATION:

Reference is made to the Opening Report in this case, written by SA (b)(6),(b)(7)(C) on 01/21/11.

On 01/25/11, SA (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) the (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) the from (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) the (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) for JSTOR, (b)(6),(b)(7)(C) a (b)(6),(b)(7)(C) for JSTOR, and AUSA Stephen Heymann held a conference call. (b)(6),(b)(7)(C) confirmed that JSTOR has licensing agreements with publishers to make journals and articles available on the JSTOR web site, and that some of those licensing agreements include revenue sharing with publishers in which the publishers will get a share



of the fees JSTOR collects from institutions. (b)(6)(b) stated that some of the publishers allow for a direct fee to download an individual article, but some publishers do not want individual articles downloaded. (b)(6)(b) estimated that the value of the documents Swartz downloaded to be in excess of \$2 million. (b)(6)(b) stated that he believed the average cost of the articles was \$14.00. (b)(6)(b) stated that the first indication of an intrusion was a degradation of service for all customers. (b)(6)(b) stated that the software on the JSTOR site relies on cookies to track users and that Swartz must have found a way to delete the JSTOR cookies from his system prior to making a new request to download a document. (b)(6)(b) stated multiple download requests occurred simultaneously and that at times, hundreds of download requests were occurring concurrently. (b)(6)(b) confirmed that the JSTOR terms and conditions clearly prohibited the kind of downloading Swartz was doing.

On 02/03/11, SA (b)(6)(b) and Detective (b)(6)(b) received the Acer Aspire netbook, hard drive enclosure, Western Digital hard drive contained in the enclosure, and a USB flash drive from MIT Police (b)(6)(b)(7)(C). SA (b)(6)(b) and Detective (b)(6)(b) took the evidence items directly to Cambridge Police Headquarters. The evidence items were logged into Cambridge Police evidence and taken to the Cambridge Police Identification Unit. The Identification Unit began processing the items for fingerprints. The results of the analysis is pending.

On 02/04/11, SA (b)(6)(b) Detective (b)(6)(b)(7)(C) of the Cambridge Police, (b)(6)(b) from the Massachusetts Institute of Technology, and AUSA Stephen Heymann held a conference call. (b)(6)(b) explained that he was driving to work on 01/04/11 when (b)(6)(b)(7)(C) called him and told him that he found a laptop connected to a switch. (b)(6)(b) explained that previously (b)(6)(b)(7)(C) had sent an email to (b)(6)(b)(7) describing the switch he had traced the excessive downloading from JSTOR to. (b)(6)(b) explained that after (b)(6)(b) found the laptop connected to the switch, he started a packet capture on the same switch. (b)(6)(b) also explained that the switch the laptop was connected to was an entry switch, and that normally only edge switches should be plugged into the entry switch. (b)(6)(b) also explained that when (b)(6)(b)(7)(C) arrived, he used NMAP to discover that port 22 and 8092 were open on the laptop that was discovered. (b)(6)(b) said that he reviewed the packet capture and discovered 14 different IP addresses sending SSH traffic to the laptop. (b)(6)(b) believed that some of the IP addresses were SSH background noise, however he did note that 18.181.0.232 could be traced to the linerva server at MIT. The linerva server is a Linux dial up server run by the Student Information Processing Board at MIT. (b)(6)(b)(7)(C) stated that he was still working on analyzing the packet capture.

On 02/07/11, (b)(6)(b)(7)(C) told SA (b)(6)(b)(7) that he noticed that on 01/06/11, the laptop used by Swartz was briefly registered on the MIT network from building 4 of MIT. (b)(6)(b)(7) noticed that during that time the laptop communicated with IP addresses 174.129.66.198, 204.236.212.151 and 50.16.222.69. (b)(6)(b)(7) stated that those IP addresses are associated with Amazon Elastic Compute Cloud, which is a web service that provides resizable compute capacity in the cloud.

Also on 02/07/11, (b)(6)(b)(7)(C) sent an email to AUSA Heymann to revise her estimate of how many documents were downloaded by Swartz. (b)(6)(b) stated that Swartz downloaded over 2.8 million documents in November and December of 2010. (b)(6)(b) also forwarded emails from (b)(6)(b)(7)(C) stating that the initial analysis of the activity indicated that the downloads were done systematically using sequential increases in stable URLs. The same email included a statement from (b)(6)(b)(7)(C) of JSTOR indicating that the downloading did not appear to be targeted towards research articles or any particular titles, collections, or disciplines. For the 2.8 million downloads in November and December of 2010, the breakdown was 1,385,569 research articles, 938,063 reviews, 62,127 news articles

INVENTORY MADE BY:  
DESCRIPTION OF ITEMS:

SA (b)(6),(b)(7)(C)  
Apple iMac Model A1311 serial number W8025AXGD87  
Western Digital Hard Drive SN WMANN1006724  
Aaron Swartz  
Boston Field Office Evidence Vault  
Held pending judicial action.

SEIZED / OBTAINED FROM:  
LOCATION:  
DISPOSITION:

EVIDENCE SSF 1544 S/N:

102 2011 CE 39

DATE OF INVENTORY:

02/25/11

INVENTORY MADE BY:

SA (b)(6),(b)(7)(C)

DESCRIPTION OF ITEMS:

Acer Aspire One SN LUSAX000010011001E1601  
Rocketfish Enclosure with WD hard drive

WMAZA1626675

SEIZED / OBTAINED FROM:

HP USB Drive marked 0045SMKBT1 85102

LOCATION:

Cambridge Police

DISPOSITION:

Boston Field Office Evidence Vault  
Held pending judicial action.

DISPOSITION:

The San Francisco Field Office is requested to interview (b)(6),(b)(7)(C) and (b)(6),(b)(7)(C) to determine if Swartz discussed JSTOR or MIT with them, and if they had any knowledge of Swartz's downloading of documents from JSTOR. Prior to making contact with (b)(6),(b)(7)(C) and (b)(6),(b)(7)(C) the San Francisco agent assigned this IOD is requested to contact Boston case agent (b)(6),(b)(7)(C) at (b)(6),(b)(7)(C) to further discuss this case.

Case continued pending further investigation and judicial action.

USSS / BOSTON

(b)(6),(b)(7)(C)

/ RICCIARDI

**BOS**

**From:** BOS  
**To:** CID  
**Cc:** ISD; BOS  
**Subject:** 775.510 Opening Report - Aaron Swartz (102-775-60071-S)  
**Attachments:**

Sent: Fri 1/21/2011 2:58 PM

## U.S. SECRET SERVICE INVESTIGATIVE REPORT

**FROM:** BOSTON FIELD OFFICE  
**TO:** CRIMINAL INVESTIGATIVE DIVISION  
**INFO:** INVESTIGATIVE SUPPORT DIVISION

**FILE:** 102-775-60071-S  
**X-REF:** N/A  
**SEIZURE#:** N/A

**SUBJECT:** OPENING REPORT

**CASE TITLE:** AARON SWARTZ  
**CASE TYPE:** 775.510  
**SECONDARY TYPES:** 848.191, 848.304, 848.930  
**CONTROLLING OFFICE:** BOSTON FIELD OFFICE  
**REPORT MADE BY:** SA (b)(6),(b)(7)(C) (b)(6),(b)(7)(C)  
**DATE CASE OPENED:** 01/07/11  
**PREVIOUS REPORT:** N/A  
**REPORTING PERIOD:** 01/04/11 - 01/21/11  
**STATUS:** CONTINUED

FILE COPY 2011

**SYNOPSIS:**

On 01/04/11, MIT police requested assistance from members of the New England Electronic Crime Task Force regarding an investigation into a computer that was found in a locked closet at MIT and was connected to the MIT Network without authorization. Further investigation revealed that a subject later identified as Aaron Swartz, intruded into the MIT network without authorization by making entry into a locked closet containing networking components for MIT networks, connecting a computer to the MIT network, and downloading documents from JSTOR.

On 01/06/11, Aaron Swartz was arrested by MIT Police and agents of the New England Electronic Crimes Task Force and charged with violation of Massachusetts General Law (MGL) for breaking and entering. The investigation of Swartz's unauthorized intrusion into the MIT network and the theft of documents from JSTOR continue.

Case continued in Boston.

**DETAILS OF INVESTIGATION:**

On 01/04/11, Detective (b)(6),(b)(7)(C) of the Cambridge, MA Police Department and a member of the New England Electronic Crimes Task Force, received a call from (b)(6),(b)(7) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (MIT.EDU) of the Massachusetts Institute of Technology (MIT) Police Department, informing him that an unauthorized computer had been found in a wire closet on MIT grounds and that Network Traffic suggested that the computer was being used to download expensive technical journals without authorization. The computer was found in a wire closet in the basement of Building 16, the Dorrance Building (77 Massachusetts Avenue, Cambridge, MA) which houses the MIT Biological Engineering Department.

Continuing on 01/04/11, SA (b)(6),(b)(7)(C) Detective (b)(6),(b) and Detective (b)(6),(b)(7) of the Boston Police Department, traveled to MIT and met with (b)(6),(b)(7) (b)(6),(b)(7) (b)(6),(b)(7) of the MIT Police, (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7) and (b)(6),(b)(7)(C) a (b)(6),(b)(7)(C).

(b)(6)(b)(7) for MIT, in the basement of building 16. (b)(6)(b)(7)(C) (b)(6)(b)(7)(C) and fingerprints. The netbook found connected to the switch in the wire closet in the basement of building 16 was an Acer Aspire One with a serial number LUSAX0D001001100E1601. Network traffic indicated that the netbook was using two IP addresses (18.55.6.240 and 18.55.7.240) which are both IP addresses belonging to MIT. Use of NMap showed that the netbook had port 22 and 8092 open. Port 22 is the default port for SSH (Secure Shell network protocol) and port 8092 is often associated with TCP (Transmission Control Protocol) traffic. A surveillance camera was placed in the wire closet to record anyone returning for the netbook.

Continuing on 01/04/11, at approximately 1526, the surveillance camera recorded a white male, later identified as Aaron Swartz (DOB 11/08/86), enter the wire closet. Based on the surveillance video, Swartz appeared to replace the external hard drive with a new one and take the old hard drive with him.

Further on 01/04/11, (b)(6)(b)(7) was able to provide SA (b)(6)(b)(7) with the following timeline regarding this investigation:

On 09/26/10, (b)(6)(b)(7)(C) the MIT (b)(6)(b)(7)(C) received an email from (b)(6)(b)(7)(C), the JSTOR (b)(6)(b)(7)(C), stating that excessive downloading of journals had been detected from MIT, and that all of MIT access to JSTOR would be blocked. JSTOR converts printed scholarly journals into electronic form and stores them in a central archive that can be accessed by libraries and institutions such as MIT.

On 09/27/10, the MIT Network and Information Security Team received an email from (b)(6)(b)(7)(C) the MIT (b)(6)(b)(7)(C) (b)(6)(b)(7)(C) (b)(6)(b)(7)(C) regarding excessive downloading from two IP addresses 18.55.6.216 and 18.55.6.215. JSTOR restored MIT access but blocked access to the identified IP addresses. (b)(6)(b)(7)(C) (b)(6)(b)(7)(C) (b)(6)(b)(7)(C) (b)(6)(b)(7)(C)@mit.edu, registration for "Gary Host" with email address ghost@mailinator.com, a MAC address of 00235a735ffb and computer name "ghost-macbook" registered on the network on 09/24/10. (b)(6)(b)(7) disabled the computer registration.

On 10/09/10, (b)(6)(b)(7)(C) from JSTOR (b)(6)(b)(7)(C) emailed (b)(6)(b)(7)(C) the MIT (b)(6)(b)(7)(C) to inform her that MIT's access to JSTOR had been cut off again due to excessive downloading.

On 10/12/10, the MIT Network and Information Security Team received an email from (b)(6)(b)(7)(C) stating that JSTOR informed her that excessive downloading came from IP address 18.55.5.100.

On 10/13/10, (b)(6)(b)(7) traced the second occurrence of excessive unauthorized downloading to a computer registered on the network as "Grace Host" with an email of ghost42@mailinator.com, a MAC address of 0017f22cb074 and computer name of "ghost-laptop". (b)(6)(b)(7) disabled the host registrations identified as bogus. (b)(6)(b)(7)(C) (b)(6)(b)(7)(C) (b)(6)(b)(7)(C) (b)(6)(b)(7)(C) for MIT, notified (b)(6)(b)(7)(C) and (b)(6)(b)(7)(C) the (b)(6)(b)(7)(C) MIT (b)(6)(b)(7)(C) (b)(6)(b)(7)(C) that information indicated that the same unknown person appears to be using MIT guest registration from a wired connection in building 16.

On 11/29/10, the MIT Network and Information Security Team was notified by the MIT branch of the Institute of Electrical and Electronic Engineers that journal spidering has occurred on their site and it was tracked to the Student Information Processing Board XVM cluster, a group of computers that

are shared and that anyone in the MIT community can use to host a Virtual Machine.

On 01/03/11, (b)(6),(b)(7)(C) received an email from (b)(6),(b)(7)(C) forwarded from (b)(6),(b)(7)(C) informing him that that the excessive downloading of journals had begun again.

On 01/04/11, (b)(6),(b)(7)(C) emailed (b)(6),(b)(7)(C) the (b)(6),(b)(7)(C) Operations, and (b)(6),(b)(7)(C) (b)(6),(b)(7)(C), (b)(6),(b)(7)(C)@mit.edu (b)(6),(b)(7)(C) for MIT, asking them to further pinpoint the location of the computer downloading the journals. At 0808, (b)(6),(b)(7)(C) located a computer hidden by a box connected to a switch in a wire closet in the basement of building 16. The computer was also connected to an external hard drive. (b)(6),(b)(7)(C) established a packet capture of the same switch the computer was found attached to.

(b)(6),(b)(7)(C) also provided SA (b)(6),(b)(7)(C) with a copy of historical network flow data concerning IP addresses 18.55.6.240 and 18.55.7.240 from 12/14/10 to 01/04/11 and DHCP log information for computers registered as ghost-macbook and ghost-laptop.

SA (b)(6),(b)(7)(C) contacted SA (b)(6),(b)(7)(C) (CID) at the CERT Coordination Center at the Software Engineering Institute at Carnegie Mellon University. SA (b)(6),(b)(7)(C) provided SA (b)(6),(b)(7)(C) with instructions to upload the data to the CERT drop box.

On 01/06/11, at approximately 1232, video surveillance showed the individual later identified as Swartz return to the wire closet and remove the netbook and external hard drive. Later, (b)(6),(b)(7)(C) of the MIT Police Department called (b)(6),(b)(7)(C) of the MIT Police Department and stated that he had located the suspect later identified as Swartz riding his bicycle on Massachusetts Avenue near the intersection with Lee Street in Cambridge, Massachusetts. (b)(6),(b)(7)(C) and SA (b)(6),(b)(7)(C) responded to Lee Street to assist Captain (b)(6),(b)(7)(C) and attempted to interview Swartz, however Swartz jumped off of his bicycle and ran down Lee Street. (b)(6),(b)(7)(C) and SA (b)(6),(b)(7)(C) detained the suspect and he was subsequently placed under arrest. A search of the backpack the suspect was wearing revealed a U.S. passport in the name of Aaron Swartz and one (1) USB Thumb Drive. No computer was found in the backpack. Swartz was transported by Cambridge Police to Cambridge Police headquarters and subsequently charged with violation of Massachusetts General Law (MGL) for Breaking and Entering.

Also on 01/06/11, (b)(6),(b)(7)(C) checked the DHCP logs for computer registrations containing the word "ghost". Ghost-laptop was identified as still being active on the MIT network using the same MAC address as used on 01/04/11 to download journals. (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C)@mit.edu an MIT Network Engineer, traced ghost-laptop on the network to building W20 on the 5th floor. MIT Building W20 is the Stratton Student Center. (b)(6),(b)(7)(C) and (b)(6),(b)(7)(C) traveled to the Stratton Student Center and determined that the network drop location ghost-laptop connected to was the Student Information Processing Board office, room 557. (b)(6),(b)(7)(C) contacted (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) to inform him that they had traced the netbook to a room in the student center. SA (b)(6),(b)(7)(C) met (b)(6),(b)(7)(C) and (b)(6),(b)(7)(C) at the student center and found the Acer Aspire netbook and external hard drive unattended, under a table, powered on and connected to the MIT network by a cable. Using gloves, SA (b)(6),(b)(7)(C) examined the netbook. The netbook appeared to be frozen halfway in the shutdown state and all attempts to access a terminal on the machine were unsuccessful. It was determined it would not be possible to conduct live forensics or capture a snapshot of the memory of the computer in its current state. The laptop was placed in an evidence bag and turned over to MIT Police to be inventoried into evidence.

Continuing on 01/06/11, SA (b)(6),(b)(7)(C) and (b)(6),(b)(7)(C) traveled to Cambridge Police Headquarters to interview Swartz. At Cambridge Headquarters, SA (b)(6),(b)(7)(C) met (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) informed SA (b)(6),(b)(7)(C) that he represented Swartz and that his client would not make a statement. Swartz was not cooperative with investigators. Swartz initially refused to provide his name, date of birth and other biographical information.

On 01/10/11, SA (b)(6),(b)(7)(C) AUSA Heymann and (b)(6),(b)(7)(C) from JSTOR conducted a conference call to discuss the theft of material from JSTOR.

On 01/14/11, SA (b)(6),(b)(7)(C) Detective (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) (b)(6),(b)(7)(C) and AUSA Heymann met at the MIT office of General Counsel with (b)(6),(b)(7)(C) counsel for MIT.

#### JUDICIAL ACTION:

On 01/06/11, Aaron Swartz was arrested by MIT Police Department and charged with violation of Massachusetts General Law (MGL) Chapter 266, Section 18, Breaking and Entering.

On 01/06/11, SA (b)(6),(b)(7)(C) contacted AUSA Steven Heymann, District of Massachusetts, to brief him on the above investigation.

On 01/07/11, Aaron Swartz was arraigned in Cambridge, MA District Court for violation of MGL Chapter 266, Section 18, Breaking and Entering. The case was assigned docket number 1152CR0073.

#### SUSPECTS / DEFENDANTS:

SWARTZ, Aaron H. - SUSPECT

AKA:	N/A
RACE:	White
SEX:	Male
DOB:	11/08/1986
SSN:	(b)(6),(b)(7)(C)-1374
FBI:	675304KDD
SID:	MA10556559
HT:	5' - 06"
WT:	120 lbs.
EYES:	Brown
HAIR:	Brown
1599:	Yes
1599A:	No
PHOTO:	Yes
PRINTS:	Yes
POB:	Chicago, IL
DL/STATE:	
ADDRESS:	
EMAIL:	
DATABASE CHECKS:	01/07/11

#### EXAMS CONDUCTED:

ECSAP:	Pending
POLY:	N/A
FSD:	N/A

#### DATABASE SEARCHES CONDUCTED:

MCI / CI: 01/07/11  
NCIC/NLETS: 01/07/11  
CCS/CFT: 01/07/11  
LOCAL LE: 01/07/11

EVIDENCE / CONTRABAND / PERSONAL PROPERTY:

All evidence in this case is currently being held at MIT Police Headquarters.

DISPOSITION:

Case continued pending further investigation and judicial action.

USSS / BOSTON

(b)(6),(b)(7)(C)

RICCIARDI

UNITED STATES DISTRICT COURT  
DISTRICT OF MASSACHUSETTS

UNITED STATES OF AMERICA

v.

AARON SWARTZ,

Defendant

Crim. No. 11-cr-10260

**VIOLATIONS:**

18 U.S.C. § 1343 (Wire Fraud)

18 U.S.C. § 1030(a)(4) (Computer Fraud)

18 U.S.C. § 1030(a)(2), (c)(2)(B)(iii)  
(Unlawfully Obtaining Information from a  
Protected Computer)

18 U.S.C. § 1030(a)(5)(B), (c)(4)(A)(i)(I), (VI)  
(Recklessly Damaging a Protected Computer)

18 U.S.C. § 2 (Aiding and Abetting)

18 U.S.C. § 981(a)(1)(C), 28 U.S.C. § 2461(c),  
and 18 U.S.C. § 982(a)(2)(B) (Criminal  
Forfeiture)

**INDICTMENT**

The Grand Jury charges that at all relevant times:

**PARTIES**

1. The Massachusetts Institute of Technology ("MIT") was and continued to be a leading research and teaching university located in Cambridge, Massachusetts.
2. JSTOR, founded in 1995, was and continued to be a United States-based, not-for-profit organization that provides an online system for archiving and providing access to academic journals. It provides searchable digitized copies of over 1,000 academic journals, dating back for lengthy periods of time.
3. JSTOR's service is important to research institutions and universities because it can be extraordinarily expensive, in terms of both cost and space, for a research or university library to maintain a comprehensive collection of academic journals. By digitizing extensive, historical collections of journals, JSTOR enables libraries to outsource the journals' storage,

RIF



ensures their preservation, and enables authorized users to conduct full-text, cross-disciplinary searches of them. JSTOR has invested millions of dollars in obtaining and digitizing the journal articles that it makes available as part of its service.

4. JSTOR generally charges libraries, universities, and publishers a subscription fee for access to JSTOR's digitized journals. For a large research university, this annual subscription fee for JSTOR's various collections of content can cost more than \$50,000. Portions of the subscription fees are shared with the journal publishers who hold the original copyrights. In addition, JSTOR makes some articles available for individual purchase. Publishers decide which articles can be purchased individually and set fees for their articles. JSTOR facilitates the purchase of these articles from the archive on behalf of the participating publishers.

5. JSTOR did not permit users:

- a. to download or export content from its computer servers with automated computer programs such as web robots, spiders and scrapers;
- b. to download all of the articles from any particular issue of a journal; or
- c. to make other than personal use of individually downloaded articles.

6. JSTOR notified its users of these rules, and users accepted these rules when they chose to obtain and use JSTOR's content.

7. JSTOR provided MIT with its services and content for a fee.

8. MIT, in turn, made JSTOR's services and content available to its students, faculty, and employees. MIT also allowed guests of the Institute to have the same access as its students, faculty, and employees for short periods of time while they were on campus.

9. JSTOR's computers were located outside the Commonwealth of Massachusetts, and thus any communications between JSTOR's computers and MIT's computers in Massachusetts crossed state boundaries. JSTOR's computers were also used in and affected interstate and foreign commerce.

10. Aaron Swartz lived in the District of Massachusetts and was a fellow at Harvard

University's Center for Ethics. Although Harvard provided Swartz access to JSTOR's services and archive as needed for his research, Swartz used MIT's computer networks to steal well over 4,000,000 articles from JSTOR. Swartz was not affiliated with MIT as a student, faculty member, or employee or in any other manner other than his and MIT's common location in Cambridge. Nor was Swartz affiliated in any way with JSTOR.

### **OVERVIEW OF THE OFFENSES**

11. Between September 24, 2010, and January 6, 2011, Swartz contrived to:
  - a. break into a restricted computer wiring closet at MIT;
  - b. access MIT's network without authorization from a switch within that closet;
  - c. connect to JSTOR's archive of digitized journal articles through MIT's computer network;
  - d. use this access to download a major portion of JSTOR's archive onto his computers and computer hard drives;
  - e. avoid MIT's and JSTOR's efforts to prevent this massive copying, measures which were directed at users generally and at Swartz's illicit conduct specifically; and
  - f. elude detection and identification;

all with the purpose of distributing a significant proportion of JSTOR's archive through one or more file-sharing sites.

### **MEANS OF COMMITTING THE OFFENSES**

12. Swartz alone, or in knowing concert with others unknown to the grand jury, (hereafter simply "Swartz" in this section) committed these offenses through the means described below.

*September 24 through 27, 2010*

13. On September 24, 2010, Swartz purchased an Acer laptop computer from a local

computer store with the intent of using it to automatically and systematically harvest JSTOR's archive of digitized journal articles.

14. Later that day, Swartz connected the Acer computer to MIT's computer network from a location in Building 16 at MIT and registered under a pseudonym with MIT's computer network as a guest. MIT offers campus guests short-term service on its computer network. Campus guests must register on the MIT network and are limited to a total of fourteen days per year of network service.

15. Swartz registered on the network using identifiers chosen to hide his identity as the computer's owner and user.

- a. The computer was registered under the fictitious guest name "Gary Host."
- b. The computer's client name was specified as "ghost laptop." A computer's client name helps to identify it on a network and can be chosen by its user. In this case, the name was simply created by abridging the pseudonym "Gary Host," combining the first initial "g" with the last name "host."
- c. The fictitious "Gary Host's" e-mail address was identified as "ghost@mailinator.com." This was a "throwaway" e-mail address. Mailinator is a free, disposable e-mail service that allows a user to create a new e-mail address as needed, without even registering the address with Mailinator. Mailinator provides this service for users to have an anonymous and temporary e-mail address. Mailinator accepts mail for any e-mail address directed to the mailinator.com domain without need for a prior registration, and it allows anyone in the world to read that mail without having to create an account or enter a password. All mail sent to mailinator.com is automatically deleted after several hours whether read or not.

16. On September 25, 2010, Swartz used the Acer laptop to systematically access and rapidly download an extraordinary volume of articles from JSTOR. He used a software program

to automate the downloading process so that a human being would not need to keep typing in the archive requests. The program was also designed to sidestep or confuse JSTOR's efforts to prevent this behavior.

17. These rapid and massive downloads and download requests impaired computers used by JSTOR to service client research institutions and threatened to misappropriate its archive.

18. As JSTOR, and then MIT, became aware of these efforts to steal a vast proportion of JSTOR's archive, each took steps to block the flow of articles to Swartz's computer and thus to prevent him from redistributing them. Swartz, in turn, repeatedly altered the appearance of his Acer laptop and the apparent source of his automated demands to get around JSTOR's and MIT's blocks against his computer.

a. On the evening of September 25, 2010, JSTOR blocked the computer's access to its network by refusing communications from the computer's assigned IP address. An IP (short for "Internet Protocol") address is a unique numeric address used by a computer on the Internet. Every computer attached to the Internet must be assigned an IP address so the Internet traffic sent from and directed to that computer can be directed properly from the source to its destination. Most Internet service providers control a range of IP Addresses. MIT controls all IP addresses that begin with the number 18. In this case, the computer had been assigned an IP address of 18.55.6.215, and JSTOR blocked communications from that IP address.

b. On September 26, 2010, Swartz obtained for his computer a new IP address on the MIT network – 18.55.6.216 – and began again to download an extraordinary volume of articles from JSTOR. Accesses from this address continued until the middle of the day, when JSTOR spotted and blocked this IP address as well. Because the exploits on September 25 and 26 were both

launched from MIT IP addresses beginning with 18.55.6 , and because computers used by JSTOR to service client research institutions were again impaired and its archive at risk of misappropriation, on September 26, 2010, JSTOR began blocking a much broader range of IP addresses. As a result, legitimate JSTOR users at MIT were denied access to JSTOR's archive until September 29, 2010.

c. Notified by JSTOR of what was happening, MIT sought to block Swartz more specifically. It did so by prohibiting the Acer laptop from being assigned an IP address on MIT's network. When a user plugs his computer into the wired network on MIT's campus, his computer's MAC address is used to determine whether he has been authorized to use the network. A MAC address is a unique identifier assigned to a computer network interface, in this case, the Acer laptop's network interface card. A MAC address most often is assigned by the manufacturer of the network interface card and therefore generally remains constant on the device. Although a MAC address is intended to be a permanent and globally unique identification, a user with the right knowledge can change the MAC address, an action referred to as "MAC address spoofing," as discussed below.

d. As part of the registration process, "Gary Host's" computer, i.e., the Acer laptop, had identified its network interface's MAC address as 00:23:5a:73:5f:fb. Consequently, on September 27, 2010, MIT deactivated the guest registration for the "ghost laptop" by barring any network interface with that MAC address from being assigned a new IP address.

19. MIT banned the Acer laptop from its network under and consistent with its own computer use rules, which required users to:

a. use the network to support MIT's research, education, and MIT administrative activities, or at least to not interfere with these activities;

- b. maintain the system's security and conform to applicable laws, including copyright laws; and
- c. conform with rules imposed by any networks to which users connected through MIT's system.

Guest users of the MIT network agreed to be bound by the same rules that applied to students, faculty, and employees. These rules explicitly notified users that violations could lead to state or federal prosecution.

*October 2 through 9, 2010*

20. Despite knowing that his computer had been blocked from JSTOR's and MIT's networks, Swartz sought and obtained another guest connection on MIT's network, again for his Acer laptop less than a week later, on October 2, 2010.

21. Once again, Swartz registered the Acer laptop on the network using identifiers chosen to avoid identifying Swartz as the computer's owner and user:

- a. The computer was once again registered under the fictitious name "Gary Host" and the client name "ghost laptop."
- b. To evade the MAC address block, Swartz spoofed the computer's MAC address, manipulating it from 00:23:5a:73:5f:fb to 00:23:5a:73:5f:fc (the final "b" became a "c").
- c. By re-registering the "ghost laptop," Swartz ensured that it was assigned a new IP address. By obtaining a new IP address, Swartz disassociated his rogue computer from the IP addresses used to exploit JSTOR in September.

22. On October 8, 2010, Swartz connected a second computer to MIT's network and registered as a guest, using similar naming conventions: the computer was registered under the name "Grace Host," the computer client name "ghost macbook," and the throw-away e-mail address "ghost42@mailinator.com."

23. The next day, October 9, 2010, Swartz used both the "ghost laptop" and the

"ghost macbook" to systematically and rapidly access and download an extraordinary volume of articles from JSTOR. The pace was so fast that it brought down some of JSTOR's computer servers.

24. In response, JSTOR blocked the entire MIT computer network's access to JSTOR for several days, beginning on or about October 9, 2010.

*November and December, 2010*

25. During November and December, 2010, Swartz used the "ghost laptop" (i.e., the Acer laptop) at MIT to make over two million downloads from JSTOR. This is more than one hundred times the number of downloads during the same period by all the legitimate MIT JSTOR users combined. Of the downloads, approximately half were research articles, with the remainder being reviews, news, editorials, and miscellaneous documents.

26. This time around, Swartz circumvented MIT's guest registration process altogether when he connected to MIT's computer network. By this point, Swartz was familiar with the IP addresses available to be assigned at the switch in the restricted network interface closet in the basement of MIT's Building 16. Swartz simply hard-wired into the network and assigned himself two IP addresses. He hid the Acer laptop and a succession of external storage drives under a box in the closet, so that they would not be obvious to anyone who might enter the closet.

*January 4 through 6, 2011*

27. On January 4, 2011, Aaron Swartz was observed entering the restricted basement network wiring closet to replace an external hard drive attached to his computer.

28. On January 6, 2011, Swartz returned to the wiring closet to remove his computer equipment. This time he attempted to evade identification at the entrance to the restricted area. As Swartz entered the wiring closet, he held his bicycle helmet like a mask to shield his face, looking through ventilation holes in the helmet. Swartz then removed his computer equipment from the closet, put it in his backpack, and left, again masking his face with the bicycle helmet

before peering through a crack in the double doors and cautiously stepping out.

29. Shortly thereafter, Swartz connected the Acer laptop to MIT's network in a different building, again registering on the network using identifiers chosen to avoid identifying Swartz as the computer's owner and user.

a. The computer was registered under the fictitious name "Grace Host" and the client name "ghost laptop."

b. To evade the block on the computer's MAC address, Swartz had spoofed (manipulated) its MAC address a second time, changing it from the blocked 00:23:5a:73:5f:fb to 00:4c:e5:a0:c7:56.

c. By re-registering the "ghost laptop," Swartz ensured that it was assigned a new IP address. By obtaining a new IP address for his rogue computer, Swartz disassociated it from the IP addresses used to exploit JSTOR up to that point.

30. Swartz had a software program named "keepgrabbing.py" installed on the Acer laptop. Keepgrabbing.py was designed to download .pdf files from jstor.org and sidestep or confuse JSTOR's efforts to prevent the behavior.

31. When MIT Police spotted Swartz on the afternoon of January 6, 2011 and attempted to question him, he fled with a USB drive that contained the program "keepgrabbing2.py." "Keepgrabbing2.py" had distinct similarities to "keepgrabbing.py."

32. In all, Swartz stole approximately 4.8 million articles, a major portion of the total archive in which JSTOR had invested. Of these, approximately 1.7 million were made available by independent publishers for purchase through JSTOR's Publisher Sales Service.

33. Swartz intended to distribute a significant portion of JSTOR's archive of digitized journal articles through one or more file-sharing sites.



**COUNT 1  
Wire Fraud  
18 U.S.C. §§ 1343 & 2**

34. The Grand Jury realleges and incorporates by reference the allegations in paragraphs 1-33 of this Indictment and charges that:

From on or about September 24, 2010, through January 6, 2011, or thereabout, in the District of Massachusetts and elsewhere, the defendant,

**AARON SWARTZ,**

having devised and intended to devise a scheme and artifice to defraud and for obtaining property — namely, journal articles digitized and distributed by JSTOR, and copies thereof — by means of material false and fraudulent pretenses, representations, and promises, transmitted and caused to be transmitted by means of wire communication in interstate commerce writings, signs, signals, and pictures — namely, communications to and from JSTOR's computer servers — for the purpose of executing the scheme, and aided and abetted the same.

All in violation of Title 18, United States Code, Sections 1343 and 2.

**COUNT 2**  
**Computer Fraud**  
**18 U.S.C. §§ 1030(a)(4) & 2**

35. The Grand Jury realleges and incorporates by reference the allegations in paragraphs 1-33 of this Indictment and charges that:

From on or about September 24, 2010, through January 6, 2011, or thereabout, in the District of Massachusetts and elsewhere, the defendant,

**AARON SWARTZ,**

knowingly and with intent to defraud, accessed a protected computer — namely, a computer on MIT's network and a computer on JSTOR's network — without authorization and in excess of authorized access, and by means of such conduct furthered the intended fraud and obtained things of value — namely, digitized journal articles from JSTOR's archive — and aided and abetted the same.

All in violation of Title 18, United States Code, Sections 1030(a)(4) and 2.

**COUNT 3**  
**Unlawfully Obtaining Information from a Protected Computer**  
**18 U.S.C. §§ 1030(a)(2), (c)(2)(B)(iii) & 2**

36. The Grand Jury realleges and incorporates by reference the allegations in paragraphs 1-33 of this Indictment and charges that:

From on or about September 24, 2010, through January 6, 2011, or thereabout, in the District of Massachusetts and elsewhere, the defendant,

**AARON SWARTZ,**

intentionally accessed a computer — namely, a computer on MIT's computer network and a computer on JSTOR's network — without authorization and in excess of authorized access, and thereby obtained from a protected computer information whose value exceeded \$5,000 — namely, digitized journal articles from JSTOR's archive — and aided and abetted the same.

All in violation of 18 U.S.C. §§ 1030(a)(2), (c)(2)(B)(iii) and 2.

**COUNT 4**  
**Recklessly Damaging a Protected Computer**  
**18 U.S.C. §§ 1030(a)(5)(B), (c)(4)(A)(i)(I), (VI) & 2**

37. The Grand Jury realleges and incorporates by reference the allegations in paragraphs 1-33 of this Indictment and charges that:

From on or about September 24, 2010, through January 6, 2011, or thereabout, in the District of Massachusetts and elsewhere, the defendant,

**AARON SWARTZ,**

intentionally accessed a protected computer — namely, a computer on MIT's computer network and a computer on JSTOR's network — without authorization, and as a result of such conduct recklessly caused damage to MIT and JSTOR, and, during a 1-year period, caused loss aggregating at least \$5,000 in value and damage affecting at least 10 protected computers, and aided and abetted the same.

All in violation of Title 18, United States Code, Sections 1030(a)(5)(B), (c)(4)(A)(i)(I), (VI) & 2.

UNITED STATES GOVERNMENT  
Memorandum of interview

U.S. Secret Service

Case # 102-775-60071-S

DATE AND TIME March 9, 2011  
LOCATION (b)(6) (b)(7)(C)  
SUBJECT INTERVIEWED (b)(6) (b)(7)(C)  
IN ATTENDANCE SA (b)(6) (b)(7)(C) (SFO)  
SA (b)(6) (b)(7)(C) (SFO)

On March 9, 2011, (b)(6) (b)(7)(C) was interviewed at (b)(6) (b)(7)(C) in reference to the Boston Field Office case number 102-775-60071-S. The interview was conducted by Agent (b)(6) (b)(7)(C) and Agent (b)(6) (b)(7)(C) San Francisco Field Office. During the interview (b)(6) (b)(7)(C) was asked about Aaron Schwarz and any information she had regarding his recent arrest. The following is a summary of her statements:

(b)(6) (b)(7)(C) stated that she is the kind of friend that does not ask questions when a friend asks for help. (b)(6) (b)(7)(C) elaborated by stating that she received a phone call from Schwarz, who asked her to call his lawyer and arrange bail for him, which she did.

(b)(6) (b)(7)(C)

When (b)(6) (b)(7)(C) was asked about any additional contact with Schwarz, she advised that she didn't have any contact, but did hear that due to his arrest, he was no longer allowed on the MIT campus. Due to this restriction, (b)(6) (b)(7)(C) advised that she heard Schwarz was upset because he would not be permitted to participate in an annual campus wide scavenger hunt, of which he participates in every year. (b)(6) (b)(7)(C) was asked if Schwarz ever mentioned JSTOR records to her, of which she advised that she didn't know what JSTOR was and asked for an explanation. Once JSTOR was explained in more detail, (b)(6) (b)(7)(C) advised that she believes that she may have access to those records (b)(6) (b)(7)(C) but has never heard Schwarz discuss JSTOR records.

During the course of the interview, (b)(6) (b)(7)(C) was fully cooperative and openly answered any questions that were asked of her. (b)(6) (b)(7)(C) stated that she would fully cooperate in this investigation, and stated that if she hears from Schwarz, that she would contact Agent (b)(6) (b)(7)(C) who provided his contact information at the conclusion of the interview.

UNITED STATES GOVERNMENT  
Memorandum of interview

U.S. Secret Service

Case # 102-775-60071-S

DATE AND  
TIME

April 13, 2011

LOCATION

1 Courthouse Way, Boston, MA 02210

SUBJECT  
INTERVIEWED

(b)(6), (b)(7)(C)

IN  
ATTENDANCE

SA (b)(6), (b)(7)(C) (BOS)

Detective (b)(6), (b)(7)(C) Cambridge Police

AUSA Stephen Heymann

(b)(6), (b)(7)(C)

On April 13, 2011, (b)(6), (b)(7)(C) was interviewed at the John Joseph Moakley U.S. Courthouse at 1 Courthouse Way, Boston Massachusetts, in reference to the Boston Field Office case number 102-775-60071-S. The interview was conducted by Agent (b)(6), (b)(7)(C) and Cambridge Police Detective (b)(6), (b)(7)(C) and Assistant U.S. Attorney Stephen Heymann. Also in attendance were (b)(6), (b)(7)(C) and (b)(6), (b)(7)(C) attorneys with Fish and Richardson Professional Corporation. The following is a summary of her statements:

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) she received a call from Swartz and that he told her he had been arrested. (b)(6), (b)(7)(C) said that she did not want to know why he had been arrested and that she was concerned about how he was emotionally. (b)(6), (b)(7)(C)

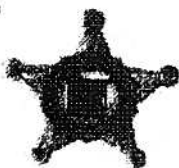
(b)(6), (b)(7)(C) said that (b)(6), (b)(7)(C) posted bail for Swartz. (b)(6), (b)(7)(C) the he had met Swartz before. (b)(6), (b)(7)(C) said that the main part of the discussion was regarding Swartz's mental health and that Swartz has had some depression problems. (b)(6), (b)(7)(C) said that she remembered Swartz mentioning something about a computer and something about Massachusetts Institute of Technology.

(b)(6), (b)(7)(C) said that after she spoke with Swartz she called one of her friends, (b)(6), (b)(7)(C)

(b)(6), (b)(7)(C)

(b)(6), (b)(7)(C) said that Swartz did not like to have a computer at his house but that he had an office at the democracy center. (b)(6), (b)(7)(C) said that she thought that Swartz generally used Mac equipment.

(b)(6), (b)(7)(C) said that she understood that Swartz did something with JSTOR. (b)(6), (b)(7)(C) said that she believed that academic publishing is despised by academics (b)(6), (b)(7)(C) said that researchers have to pay to be published and then people have to pay to have access to the works.



# Electronic Crimes Special Agent Program

CASE NUMBER: 102-866-0080071

TOTAL MEDIA PROCESSED: 9 30 TB

CASE TITLE: Swartz

SUBJECT: Swartz, Aaron

CITY OF OFFENSE: Cambridge  
STATE OF OFFENSE: MA

IOD: N

REQUESTER: AJUSA Heymann

CASE OFFICE: BOS (102)

EXAMINER'S SUPERVISOR: (b)(6) (b)(7)(C)

EXAMINER'S OFFICE: BOS (102)

## DATES/APPROVERS

EXAM DATE: 07/07/2011

APPROVED DATE: 07/27/2011

SUBMIT DATE: 07/26/2011

## USSS CASE INFORMATION

J-CASE:

S-CASE: S

OCCURRENCE: NOT SPECIFIED

SSF-1544: 102 2011 CE 39

INTERNAL TRACKING NUM:

ICR:

## OTHER AGENCY INFORMATION

OTHER AGENCY: N

OTHER AGENCY NO:

REQUESTOR:

REQUESTOR NUMBER:

## CASE ENCRYPTION

ENCRYPTION USED: N

ENCRYPTION DESCR: NOT SPECIFIED

## COMMENTS

CASE SUMMARY: Aaron Swartz broke into a network closet in MIT, attached a laptop to the MIT network and illegally downloaded a large number of documents from JSTOR.

DISPOSITION EVIDENCE: Held in the Boston Field Office pending judicial action

## CASE TYPES

PRIMARY CASE TYPE: 866.775 - Computer Crime Investigations

SECONDARY CASE TYPES: 848.193 - Financial Crimes Task Forces  
848.191 - Electronic Crimes Task Force  
848.930 - Crimes Involving use of Emerging Technology  
848.304 - Books/Poems/Plays

## INVESTIGATIVE TOOLS

(b)(6) (b)(7)(C)

Office: BOSTON FIELD OFFICE Agent Phone

(b)(6) (b)(7)(C)

Approved by CID on 07/27/2011